

PATENT

Application No. 10/821,710

Page 1



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Inventors: Michael Wayne GRAHAM *et al.*

Confirmation No.: 1697

Application No.: 10/821,710

Group Art Unit: 1635

Filed: April 8, 2004

Examiner: Schnizer, Richard A.

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For: **Control of Gene Expression**

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**THIRD PARTY SUBMISSION UNDER C.F.R. 1.99**  
**IN PUBLISHED APPLICATION**

Sir:

This third party submission is being made under the provisions of 37 C.F.R. 1.99 for the purpose of calling the Examiner's attention to prior art considered relevant to the above U.S. Appl. No.

10/821,710 (published as US 2004/0237145 A1 on November 25, 2004).

The patent/publications submitted for consideration are listed below:

1. US 6,506,559
2. US 6,506,559 (redacted)
3. US 60/068,562
4. US 60/068,562 (redacted)

*OK to  
scan  
M. H. Dixon*  
3/6/27  
SPECIAL PROGRAM EXAMINER  
WILLIAM H. DIXON, JF  
SPECIAL PROGRAM EXAM

Copies of the above listed patents and publications are attached hereto. The attachments are all in the English language. Redacted versions of the references are included, as permitted according to MPEP 1134.01(II).

A copy of this submission with attachments is being served on the applicants by first class mail concurrent to this filing, at:

02/26/2007 HMARZ11 00000160 501283 10021710

01 FC:1806  
02 FC:1808

180.00 DA  
130.00 DA

PATENT

Application No. 10/821,710

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Patton Boggs LLP  
8484 Westpark Drive, Suite 900  
McLean VA, 22102

This submission is being filed after two months following the date of publication of the application. However, it is respectfully submitted that the consideration of the redacted references appears to now be appropriate in light of recent prosecution and therefore the references could not have been submitted within the two month time frame. The processing fee of \$130.00 in accordance with Rules 1.99(e) and 1.17(i) is included. In addition, the required fee (\$180.00) pursuant to Rules 1.99(b)(1) and 1.17(p) is included. Please charge the required fees totaling \$310.00 to Deposit Account No. 50-1283.

A self-addressed postcard is attached so that the receipt of this submission might be acknowledged.

Dated: February 23, 2007

Customer No.: 58249  
COOLEY GODWARD KRONISH LLP  
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Respectfully submitted,

By:

Bonnie Weiss McLeod  
Bonnie Weiss McLeod  
Reg. No. 43,255

**THIRD PARTY SUBMISSION**

(Use several sheets if necessary)

PTO Form 1449

Attorney Docket No.

Application No.

10/821,710

Applicants: Michael Wayne GRAHAM *et al.*

PAGE 1 of 1

Filing Date: April 8, 2004

Group Art Unit: 1635

**U.S. PATENT DOCUMENTS**

Initial		Document No.	Date	Name	Class	Sub-Class	Filing Date
	1.	US 6,506,559	01/14/2003	Fire <i>et al.</i>			
	2.	US 6,506,559 (redacted version)	01/14/2003	Fire <i>et al.</i>			
	3.	US 60/068,562	Not published	Fire <i>et al.</i>			12/23/1997
	4.	US 60/068,562 (redacted version)	Not published	Fire <i>et al.</i>			
	5.						
	6.						

**FOREIGN PATENT DOCUMENTS**

		Document No.	Date	Country	Class	Sub-Class	Translation

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)**


Examiner

Date Considered

**Examiner:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Please amend the claims as follows:

1. - 43. (Cancelled)

44. (Currently Amended) An isolated nucleic acid molecule comprising: a first ribonucleotide (RNA) sequence ~~wherein said first RNA sequence is greater than~~ of greater than 20 consecutive and up to 100 nucleotides in length, and wherein said first RNA sequence which is identical to a in sequence complementary to a region of a transcript of a target gene in a eukaryotic cell, and

a second RNA sequence ~~wherein said second RNA sequence which~~ is complementary to said first RNA sequence,

~~wherein said nucleic acid molecule is capable of post transcriptionally repressing, delaying or otherwise reducing expression of the target gene in a mammalian cell when the nucleic acid molecule is introduced into said mammalian cell wherein the expression of the target gene is reduced by sequence specific degradation of a RNA transcript of the target gene by an endogenous system of the mammalian cell, and wherein the first RNA sequence and the second RNA sequence are transcription products of a construct comprising a transcription terminator sequence that is operable in the mammalian cell~~ the first and the second RNA sequences are in the same nucleic acid strand and are separated by a stuffer fragment which comprises a sequence of nucleotides.

45. - 76. (Cancelled)

110. (New) The nucleic acid molecule of claim 44, which is in a cell.
111. (New) A composition comprising a carrier, excipient or diluent acceptable for human or veterinary applications and the nucleic acid molecule of claim 44.
112. (New) A synthetic genetic construct comprising a promoter which is operable in a eukaryotic cell, operably linked to a nucleotide sequence encoding the nucleic acid molecule of claim 44.
113. (New) The synthetic genetic construct of claim 112, which is in a eukaryotic cell.
114. (New) A eukaryotic cell comprising a non-endogenous nucleic acid molecule comprising a first ribonucleotide (RNA) sequence of greater than 20 consecutive nucleotides which is identical in sequence to a region of a transcript of a target gene in the eukaryotic cell, and a second RNA sequence which is complementary to said first RNA sequence, wherein the first and the second RNA sequences are in the same nucleic acid strand and are separated by a stuffer fragment which comprises a sequence of nucleotides.
115. (New) The eukaryotic cell of claim 114, which is a multicellular plant cell.
116. (New) The eukaryotic cell of claim 115, which is a monocotyledonous plant cell or a dicotyledonous plant cell.



# UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/821,710	04/08/2004	Michael Wayne Graham	023004.0104N5US	1697

32042 7590 01/12/2007  
PATTON BOGGS LLP  
8484 WESTPARK DRIVE  
SUITE 900  
MCLEAN, VA 22102

EXAMINER

SCHNIZER, RICHARD A

ART UNIT PAPER NUMBER

1635

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
3 MONTHS	01/12/2007	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

**Office Action Summary**

Application No.

10/821,710

Applicant(s)

GRAHAM ET AL.

Examiner

Richard Schnizer, Ph. D.

Art Unit

1635

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.138(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 20 November 2006.
- 2a) ☒ This action is FINAL. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 44 and 77-141 is/are pending in the application.
- 4a) Of the above claim(s) 114-144 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 44, 77-100 and 102-113 is/are rejected.
- 7) ☒ Claim(s) 101 is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☒ Certified copies of the priority documents have been received in Application No. 09/646,807.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

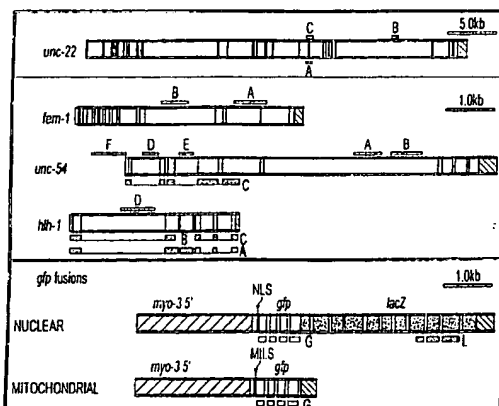
- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_



US006506559B1

**(12) United States Patent**  
**Fire et al.****(10) Patent No.: US 6,506,559 B1**  
**(45) Date of Patent: \*Jan. 14, 2003****(54) GENETIC INHIBITION BY  
DOUBLE-STRANDED RNA****(75) Inventors:** Andrew Fire, Baltimore, MD (US);  
Stephen Kostas, Chicago, IL (US);  
Mary Montgomery, St. Paul, MN  
(US); Lisa Timmons, Lawrence, KS  
(US); SiQun Xu, Ballwin, MO (US);  
Hiroaki Tabara, Shizuoka (JP);  
Samuel E. Driver, Providence, RI  
(US); Craig C. Mello, Shrewsbury, MA  
(US)5,107,065 A 4/1992 Shewmaker  
5,190,931 A 3/1993 Inouye  
5,208,149 A 5/1993 Inouye  
5,258,369 A 11/1993 Carter  
5,272,065 A 12/1993 Inouye  
5,365,015 A 11/1994 Grierson et al.  
5,453,566 A 9/1995 Shewmaker  
5,738,985 A 4/1998 Miles  
5,795,715 A 8/1998 Livache  
5,874,555 A 2/1999 Dervan  
5,972,704 A \* 10/1999 Draper et al.  
6,010,908 A 1/2000 Gruenert et al.  
6,136,601 A 10/2000 Meyer, Jr. et al.**(73) Assignee:** Carnegie Institute of Washington,  
Washington, DC (US)**(\*) Notice:** This patent issued on a continued pro-  
secution application filed under 37 CFR  
1.53(d), and is subject to the twenty year  
patent term provisions of 35 U.S.C.  
154(a)(2).Subject to any disclaimer, the term of this  
patent is extended or adjusted under 35  
U.S.C. 154(b) by 0 days.**FOREIGN PATENT DOCUMENTS**WO 94/01550 \* 1/1994  
WO WO 99/32619 7/1999  
WO WO 99/53050 10/1999  
WO WO 99/61631 12/1999  
WO WO 00/01846 1/2000  
WO WO 00/63364 10/2000**OTHER PUBLICATIONS**Sharp, 1999. Genes and Development, 13:139-141.\*  
Clemens. et al., May 23, 2000. Proc Natl Acad Sci, early  
edition, <http://www.pnas.org/cgi/doi/10.1073/pnas.110149597>.\***(21) Appl. No.: 09/215,257****(22) Filed: Dec. 18, 1998****Related U.S. Application Data****(60)** Provisional application No. 60/068,562, filed on Dec. 23,  
1997.**(51) Int. Cl.<sup>7</sup> ..... C12Q 1/68; C12N 15/85****(52) U.S. Cl. .... 435/6; 435/91.1; 435/325****(58) Field of Search ..... 514/44; 435/6,  
435/91.1, 325****(56) References Cited****U.S. PATENT DOCUMENTS**4,469,863 A 9/1984 Ts'o et al.  
4,511,713 A 4/1985 Miller et al.  
5,034,323 A 7/1991 Jorgensen et al.

(List continued on next page.)

**Primary Examiner**—Andrew Wang**Assistant Examiner**—Karen A Lacourciere**(74) Attorney, Agent, or Firm**—Morgan, Lewis & Bockius  
LLP**(57) ABSTRACT**A process is provided of introducing an RNA into a living  
cell to inhibit gene expression of a target gene in that cell.  
The process may be practiced ex vivo or in vivo. The RNA  
has a region with double-stranded structure. Inhibition is  
sequence-specific in that the nucleotide sequences of the  
duplex region of the RNA and of a portion of the target gene  
are identical. The present invention is distinguished from  
prior art interference in gene expression by antisense or  
triple-strand methods.**22 Claims, 5 Drawing Sheets**



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**U.S. Patent**

**Jan. 14, 2003**

**Sheet 2 of 5**

**US 6,506,559 B1**









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TABLE 1

Effects of sense, antisense, and mixed RNAs on progeny of injected animals.			
Gene and Segment	Size	Injected RNA	F1 Phenotype
unc-22			unc-22 null mutants: strong twitchers <sup>7,8</sup>
unc22A*	exon 21-22	742 sense antisense sense + antisense	wild type wild type strong twitchers (100%)
unc22B	exon27	1033 sense antisense	wild type wild type

TABLE 1-continued

Effects of sense, antisense, and mixed RNAs on progeny of injected animals.			
Gene and Segment	Size	Injected RNA	F1 Phenotype
<u>unc22C</u> <u>fem-1</u>	exon 21-22 <sup>b</sup>	785 sense + antisense sense + antisense	strong twitchers (100%) strong twitchers (100%) <u>fem-1 null mutants: female (no sperm)<sup>13</sup></u>
<u>fem1A</u>	exon 10 <sup>c</sup>	531 sense antisense sense + antisense	hermaphrodite (98%) hermaphrodite (>98%) female (72%)
<u>fem1B</u> <u>unc-54</u>	intron 8	556 sense + antisense	hermaphrodite (>98%) <u>unc-54 null mutants: paralyzed<sup>7,11</sup></u>
<u>unc54A</u>	exon 6	576 sense antisense sense + antisense	wild type (100%) wild type (100%) paralyzed (100%) <sup>d</sup>
<u>unc54B</u>	exon 6	651 sense antisense sense + antisense	wild type (100%) wild type (100%) paralyzed (100%) <sup>d</sup>
<u>unc54C</u> <u>unc54D</u> <u>unc54E</u> <u>unc54F</u> <u>hlh-1</u>	exon 1-5 promoter intron 1 intron 3	1015 sense + antisense 567 sense + antisense 369 sense + antisense 386 sense + antisense	arrested embryos and larvae (100%) wild type (100%) wild type (100%) wild type (100%) <u>hlh-1 null mutants: lumpy-dumpy larvae<sup>10</sup></u>
<u>h/h1A</u>	exons 1-6	1033 sense antisense sense + antisense	wild type (<2% lpy-dpy) wild type (<2% lpy-dpy) lpy-dpy larvae (>90%) <sup>f</sup>
<u>hlh1B</u> <u>hlh1C</u> <u>hlh1D</u> myo-3 driven GFP transgenes <sup>f</sup>	exons 1-2 exons 4-6 intron 1	438 sense + antisense 299 sense + antisense 697 sense + antisense	lpy-dpy larvae (>80%) <sup>e</sup> lpy-dpy larvae (>80%) <sup>e</sup> wild type (<2% lpy-dpy) <u>makes nuclear GFP in body muscle</u>
<u>myo-3::NLS::gfp::lacZ</u>			
<u>gfpG</u>	exons 2-5	730 sense antisense sense + antisense	nuclear GFP-LacZ pattern of parent strain nuclear GFP-LacZ pattern of parent strain nuclear GFP-LacZ absent in 98% of cells
<u>lacZL</u> <u>myo-3::MtLS::gfp</u>	exon 12-14	830 sense + antisense	nuclear GFP-LacZ absent in >95% of cells <u>makes mitochondrial GFP in body muscle</u>
<u>gfpG</u>	exons 2-5	730 sense antisense sense + antisense	mitochondrial GFP pattern of parent strain mitochondrial GFP pattern of parent strain mitochondrial GFP absent in 98% of cells
<u>lacZL</u>	exon 12-14	830 sense + antisense	mitochondrial GFP pattern of parent strain

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b: unc22C also carries the intervening intron (43 nt).  
c: fem1A also carries a portion (131 nt) of intron 10.

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US006506559B1

(12) **United States Patent**  
Fire et al.(10) **Patent No.:** US 6,506,559 B1  
(45) **Date of Patent:** \*Jan. 14, 2003(54) **GENETIC INHIBITION BY  
DOUBLE-STRANDED RNA**(75) **Inventors:** Andrew Fire, Baltimore, MD (US);  
Stephen Kostas, Chicago, IL (US);  
Mary Montgomery, St. Paul, MN  
(US); Lisa Timmons, Lawrence, KS  
(US); SiQun Xu, Ballwin, MO (US);  
Hiroaki Tabara, Shizuoka (JP);  
Samuel E. Driver, Providence, RI  
(US); Craig C. Mello, Shrewsbury, MA  
(US)

5,107,065	A	4/1992	Shewmaker
5,190,931	A	3/1993	Inouye
5,208,149	A	5/1993	Inouye
5,258,369	A	11/1993	Carter
5,272,065	A	12/1993	Inouye
5,365,015	A	11/1994	Grierson et al.
5,453,566	A	9/1995	Shewmaker
5,738,985	A	4/1998	Miles
5,795,715	A	8/1998	Livache
5,874,555	A	2/1999	Dervan
5,972,704	A	* 10/1999	Draper et al.
6,010,908	A	1/2000	Gruenert et al.
6,136,601	A	10/2000	Meyer, Jr. et al.

(73) **Assignee:** Carnegie Institute of Washington,  
Washington, DC (US)(\*) **Notice:** This patent issued on a continued prosecution application filed under 37 CFR 1.53(d), and is subject to the twenty year patent term provisions of 35 U.S.C. 154(a)(2).

Subject to any disclaimer, the term of this patent is extended or adjusted under 35 U.S.C. 154(b) by 0 days.

**FOREIGN PATENT DOCUMENTS**

WO	94/01550	* 1/1994
WO	99/32619	7/1999
WO	99/53050	10/1999
WO	99/61631	12/1999
WO	00/01846	1/2000
WO	00/63364	10/2000

**OTHER PUBLICATIONS**Sharp, 1999. Genes and Development, 13:139-141.\*  
Clemens. et al., May 23, 2000. Proc Natl Acad Sci, early edition,  
<http://www.pnas.org/cgi/doi/10.1073/pnas.110149597>.\*(21) **Appl. No.:** 09/215,257(22) **Filed:** Dec. 18, 1998**Related U.S. Application Data**

(60) Provisional application No. 60/068,562, filed on Dec. 23, 1997.

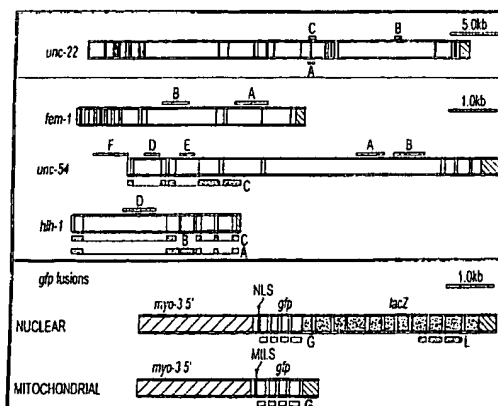
(51) **Int. Cl.<sup>7</sup>** ..... C12Q 1/68; C12N 15/85(52) **U.S. Cl.** ..... 435/6; 435/91.1; 435/325(58) **Field of Search** ..... 514/44; 435/6,  
435/91.1, 325(56) **References Cited****U.S. PATENT DOCUMENTS**

4,469,863	A	9/1984	Ts'o et al.
4,511,713	A	4/1985	Miller et al.
5,034,323	A	7/1991	Jorgensen et al.

(List continued on next page.)

**Primary Examiner**—Andrew Wang**Assistant Examiner**—Karen A Lacourciere(74) **Attorney, Agent, or Firm**—Morgan, Lewis & Bockius LLP(57) **ABSTRACT**

A process is provided of introducing an RNA into a living cell to inhibit gene expression of a target gene in that cell. The process may be practiced ex vivo or in vivo. The RNA has a region with double-stranded structure. Inhibition is sequence-specific in that the nucleotide sequences of the duplex region of the RNA and of a portion of the target gene are identical. The present invention is distinguished from prior art interference in gene expression by antisense or triple-strand methods.

**22 Claims, 5 Drawing Sheets**

## OTHER PUBLICATIONS

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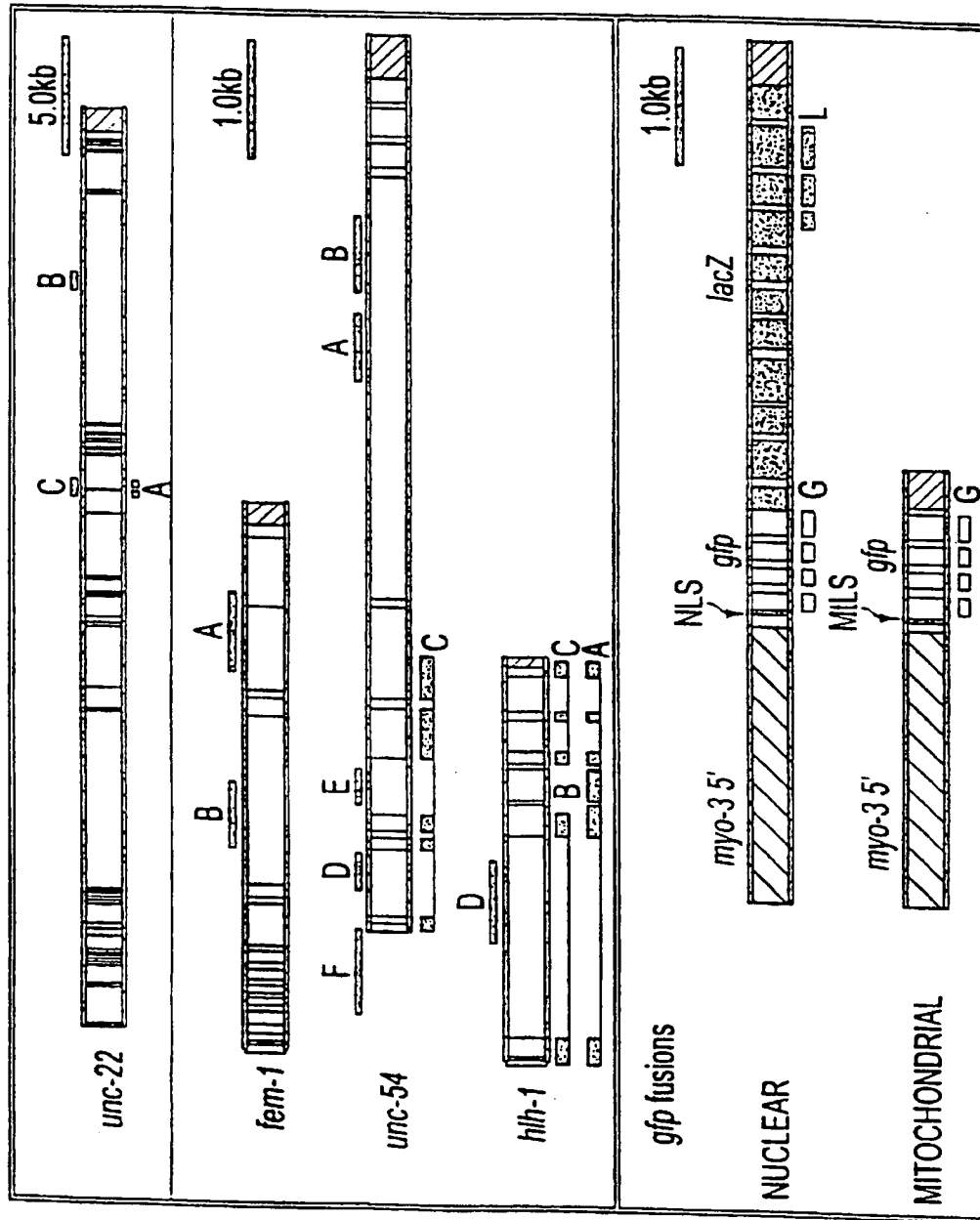


FIG. 1



L1



L1



L1

FIG. 2G



ADULT

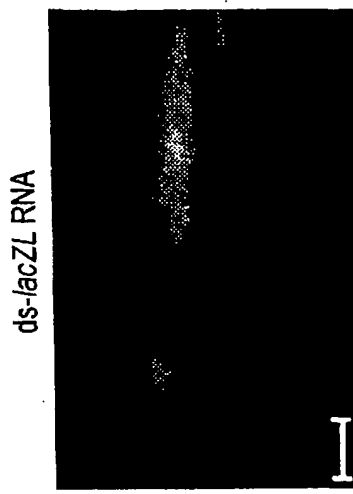


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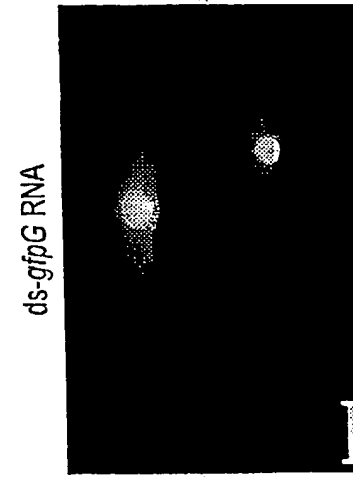


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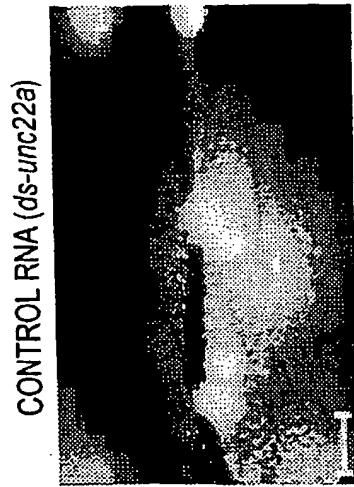
FIG. 2H



ADULT



ADULT



ADULT

FIG. 2I

FIG. 2F

FIG. 2C

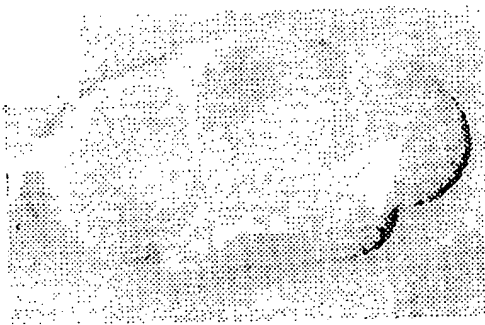


FIG. 3A



FIG. 3B

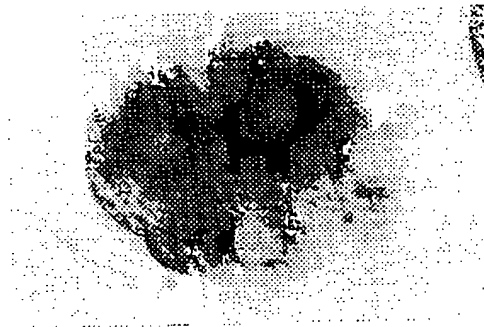


FIG. 3C

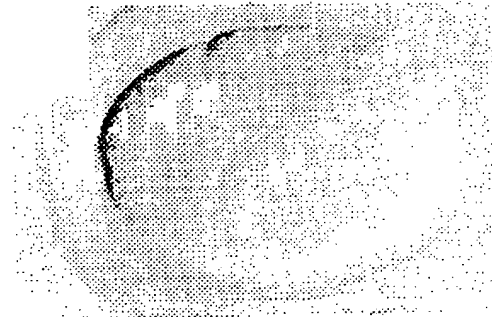


FIG. 3D

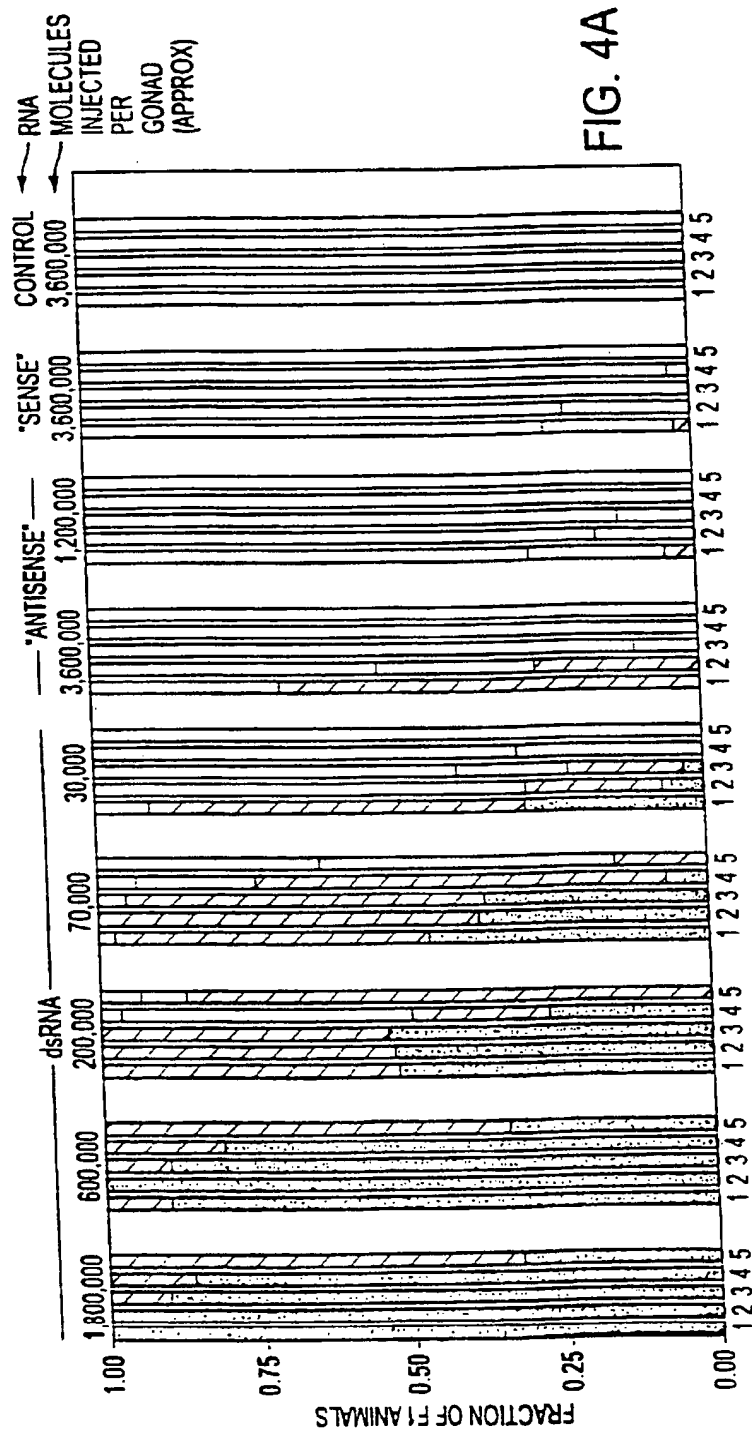


FIG. 4A

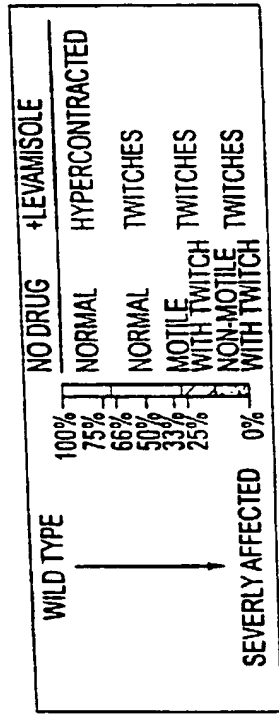


FIG. 4B

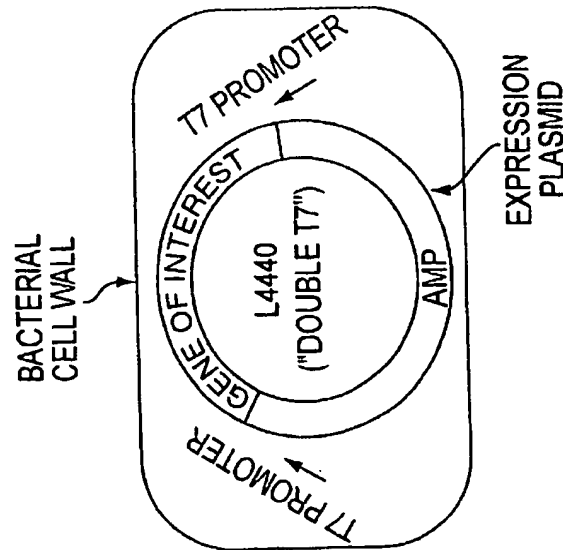


FIG. 5A

PD4251 WORMS

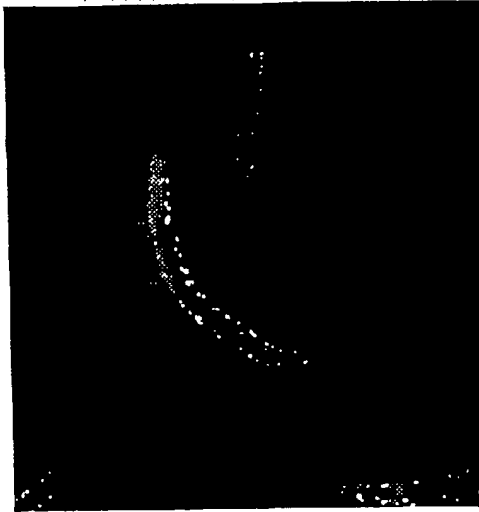


FIG. 5B

PD4251 WORMS FED BACTERIA  
EXPRESSING *gfp dsRNA*



FIG. 5C

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## GENETIC INHIBITION BY DOUBLE-STRANDED RNA

### RELATED APPLICATION

This application claims the benefit of U.S. Provisional Appln. No. 60/068,562, filed Dec. 23, 1997. +gi

### GOVERNMENT RIGHTS

This invention was made with U.S. government support under grant numbers GM-37706, GM-17164, HD-33769 and GM-07231 awarded by the National Institutes of Health. The U.S. government has certain rights in the invention.

### BACKGROUND OF THE INVENTION

#### 1. Field of the Invention

The present invention relates to gene-specific inhibition of gene expression by double-stranded ribonucleic acid (dsRNA).

#### 2. Description of the Related Art

Targeted inhibition of gene expression has been a long-felt need in biotechnology and genetic engineering. Although a major investment of effort has been made to achieve this goal, a more comprehensive solution to this problem was still needed.

Classical genetic techniques have been used to isolate mutant organisms with reduced expression of selected genes. Although valuable, such techniques require laborious mutagenesis and screening programs, are limited to organisms in which genetic manipulation is well established (e.g., the existence of selectable markers, the ability to control genetic segregation and sexual reproduction), and are limited to applications in which a large number of cells or organisms can be sacrificed to isolate the desired mutation. Even under these circumstances, classical genetic techniques can fail to produce mutations in specific target genes of interest, particularly when complex genetic pathways are involved. Many applications of molecular genetics require the ability to go beyond classical genetic screening techniques and efficiently produce a directed change in gene expression in a specified group of cells or organisms. Some such applications are knowledge-based projects in which it is of importance to understand what effects the loss of a specific gene product (or products) will have on the behavior of the cell or organism. Other applications are engineering based, for example: cases in which is important to produce a population of cells or organisms in which a specific gene product (or products) has been reduced or removed. A further class of applications is therapeutically based in which it would be valuable for a functioning organism (e.g., a human) to reduce or remove the amount of a specified gene product (or products). Another class of applications provides a disease model in which a physiological function in a living organism is genetically manipulated to reduce or remove a specific gene product (or products) without making a permanent change in the organism's genome.

In the last few years, advances in nucleic acid chemistry and gene transfer have inspired new approaches to engineer specific interference with gene expression. These approaches are described below.

#### Use of Antisense Nucleic Acids to Engineer Interference

Antisense technology has been the most commonly described approach in protocols to achieve gene-specific interference. For antisense strategies, stoichiometric amounts of single-stranded nucleic acid complementary to the messenger RNA for the gene of interest are introduced into the

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cell. Some difficulties with antisense-based approaches relate to delivery, stability, and dose requirements. In general, cells do not have an uptake mechanism for single-stranded nucleic acids, hence uptake of unmodified single-stranded material is extremely inefficient. While waiting for uptake into cells, the single-stranded material is subject to degradation. Because antisense interference requires that the interfering material accumulate at a relatively high concentration (at or above the concentration of endogenous mRNA), the amount required to be delivered is a major constraint on efficacy. As a consequence, much of the effort in developing antisense technology has been focused on the production of modified nucleic acids that are both stable to nuclease digestion and able to diffuse readily into cells. The use of antisense interference for gene therapy or other whole-organism applications has been limited by the large amounts of oligonucleotide that need to be synthesized from non-natural analogs, the cost of such synthesis, and the difficulty even with high doses of maintaining a sufficiently concentrated and uniform pool of interfering material in each cell.

#### Triple-Helix Approaches to Engineer Interference

A second, proposed method for engineered interference is based on a triple helical nucleic acid structure. This approach relies on the rare ability of certain nucleic acid populations to adopt a triple-stranded structure. Under physiological conditions, nucleic acids are virtually all single- or double-stranded, and rarely if ever form triple-stranded structures. It has been known for some time, however, that certain simple purine- or pyrimidine-rich sequences could form a triple-stranded molecule in vitro under extreme conditions of pH (i.e., in a test tube). Such structures are generally very transient under physiological conditions, so that simple delivery of unmodified nucleic acids designed to produce triple-strand structures does not yield interference. As with antisense, development of triple-strand technology for use in vivo has focused on the development of modified nucleic acids that would be more stable and more readily absorbed by cells in vivo. An additional goal in developing this technology has been to produce modified nucleic acids for which the formation of triple-stranded material proceeds effectively at physiological pH.

#### Co-Suppression Phenomena and Their Use in Genetic Engineering

A third approach to gene-specific interference is a set of operational procedures grouped under the name "co-suppression". This approach was first described in plants and refers to the ability of transgenes to cause silencing of an unlinked but homologous gene. More recently, phenomena similar to co-suppression have been reported in two animals: *C. elegans* and *Drosophila*. Co-suppression was first observed by accident, with reports coming from groups using transgenes in attempts to achieve over-expression of a potentially useful locus. In some cases the over-expression was successful while, in many others, the result was opposite from that expected. In those cases, the transgenic plants actually showed less expression of the endogenous gene. Several mechanisms have so far been proposed for transgene-mediated co-suppression in plants; all of these mechanistic proposals remain hypothetical, and no definitive mechanistic description of the process has been presented. The models that have been proposed to explain co-suppression can be placed in two different categories. In one set of proposals, a direct physical interaction at the DNA- or chromatin-level between two different chromosomal sites has been hypothesized to occur; an as-yet-unidentified mechanism would then lead to de novo methylation and subsequent suppression of gene expression.



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Alternatively, some have postulated an RNA intermediate, synthesized at the transgene locus, which might then act to produce interference with the endogenous gene. The characteristics of the interfering RNA, as well as the nature of the interference process, have not been determined. Recently, a set of experiments with RNA viruses have provided some support for the possibility of RNA intermediates in the interference process. In these experiments, a replicating RNA virus is modified to include a segment from a gene of interest. This modified virus is then tested for its ability to interfere with expression of the endogenous gene. Initial results with this technique have been encouraging, however, the properties of the viral RNA that are responsible for interference effects have not been determined and, in any case, would be limited to plants which are hosts of the plant virus.

#### Distinction Between the Present Invention and Antisense Approaches

The present invention differs from antisense-mediated interference in both approach and effectiveness. Antisense-mediated genetic interference methods have a major challenge: delivery to the cell interior of specific single-stranded nucleic acid molecules at a concentration that is equal to or greater than the concentration of endogenous mRNA. Double-stranded RNA-mediated inhibition has advantages both in the stability of the material to be delivered and the concentration required for effective inhibition. Below, we disclose that in the model organism *C. elegans*, the present invention is at least 100-fold more effective than an equivalent antisense approach (i.e., dsRNA is at least 100-fold more effective than the injection of purified antisense RNA in reducing gene expression). These comparisons also demonstrate that inhibition by double-stranded RNA must occur by a mechanism distinct from antisense interference.

#### Distinction Between the Present Invention and Triple-Helix Approaches

The limited data on triple strand formation argues against the involvement of a stable triple-strand intermediate in the present invention. Triple-strand structures occur rarely, if at all, under physiological conditions and are limited to very unusual base sequence with long runs of purines and pyrimidines. By contrast, dsRNA-mediated inhibition occurs efficiently under physiological conditions, and occurs with a wide variety of inhibitory and target nucleotide sequences. The present invention has been used to inhibit expression of 18 different genes, providing phenocopies of null mutations in these genes of known function. The extreme environmental and sequence constraints on triple-helix formation make it unlikely that dsRNA-mediated inhibition in *C. elegans* is mediated by a triple-strand structure.

#### Distinction Between Present Invention and Co-Suppression Approaches

The transgene-mediated genetic interference phenomenon called co-suppression may include a wide variety of different processes. From the viewpoint of application to other types of organisms, the co-suppression phenomenon in plants is difficult to extend. A confounding aspect in creating a general technique based on co-suppression is that some transgenes in plants lead to suppression of the endogenous locus and some do not. Results in *C. elegans* and *Drosophila* indicate that certain transgenes can cause interference (i.e., a quantitative decrease in the activity of the corresponding endogenous locus) but that most transgenes do not produce such an effect. The lack of a predictable effect in plants, nematodes, and insects greatly limits the usefulness of simply adding transgenes to the genome to interfere with

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gene expression. Viral-mediated co-suppression in plants appears to be quite effective, but has a number of drawbacks. First, it is not clear what aspects of the viral structure are critical for the observed interference. Extension to another system would require discovery of a virus in that system which would have these properties, and such a library of useful viral agents are not available for many organisms. Second, the use of a replicating virus within an organism to effect genetic changes (e.g., long- or short-term gene therapy) requires considerably more monitoring and oversight for deleterious effects than the use of a defined nucleic acid as in the present invention.

The present invention avoids the disadvantages of the previously-described methods for genetic interference. Several advantages of the present invention are discussed below, but numerous others will be apparent to one of ordinary skill in the biotechnology and genetic engineering arts.

#### SUMMARY OF THE INVENTION

A process is provided for inhibiting expression of a target gene in a cell. The process comprises introduction of RNA with partial or fully double-stranded character into the cell or into the extracellular environment. Inhibition is specific in that a nucleotide sequence from a portion of the target gene is chosen to produce inhibitory RNA. We disclose that this process is (1) effective in producing inhibition of gene expression, (2) specific to the targeted gene, and (3) general in allowing inhibition of many different types of target gene.

The target gene may be a gene derived from the cell, an endogenous gene, a transgene, or a gene of a pathogen which is present in the cell after infection thereof. Depending on the particular target gene and the dose of double stranded RNA material delivered, the procedure may provide partial or complete loss of function for the target gene. A reduction or loss of gene expression in at least 99% of targeted cells has been shown. Lower doses of injected material and longer times after administration of dsRNA may result in inhibition in a smaller fraction of cells. Quantitation of gene expression in a cell may show similar amounts of inhibition at the level of accumulation of target mRNA or translation of target protein.

The RNA may comprise one or more strands of polymerized ribonucleotide; it may include modifications to either the phosphate-sugar backbone or the nucleoside. The double-stranded structure may be formed by a single self-complementary RNA strand or two complementary RNA strands. RNA duplex formation may be initiated either inside or outside the cell. The RNA may be introduced in an amount which allows delivery of at least one copy per cell. Higher doses of double-stranded material may yield more effective inhibition. Inhibition is sequence-specific in that nucleotide sequences corresponding to the duplex region of the RNA are targeted for genetic inhibition. RNA containing a nucleotide sequences identical to a portion of the target gene is preferred for inhibition. RNA sequences with insertions, deletions, and single point mutations relative to the target sequence have also been found to be effective for inhibition. Thus, sequence identity may be optimized by alignment algorithms known in the art and calculating the percent difference between the nucleotide sequences. Alternatively, the duplex region of the RNA may be defined functionally as a nucleotide sequence that is capable of hybridizing with a portion of the target gene transcript.

The cell with the target gene may be derived from or contained in any organism (e.g., plant, animal, protozoan, virus, bacterium, or fungus). RNA may be synthesized either in vivo or in vitro. Endogenous RNA polymerase of the cell may mediate transcription in vivo, or cloned RNA polymerase can be used for transcription in vivo or in vitro. For

transcription from a transgene in vivo or an expression construct, a regulatory region may be used to transcribe the RNA strand (or strands).

The RNA may be directly introduced into the cell (i.e., intracellularly); or introduced extracellularly into a cavity, interstitial space, into the circulation of an organism, introduced orally, or may be introduced by bathing an organism in a solution containing RNA. Methods for oral introduction include direct mixing of RNA with food of the organism, as well as engineered approaches in which a species that is used as food is engineered to express an RNA, then fed to the organism to be affected. Physical methods of introducing nucleic acids include injection directly into the cell or extracellular injection into the organism of an RNA solution.

The advantages of the present invention include: the ease of introducing double-stranded RNA into cells, the low concentration of RNA which can be used, the stability of double-stranded RNA, and the effectiveness of the inhibition. The ability to use a low concentration of a naturally-occurring nucleic acid avoids several disadvantages of antisense interference. This invention is not limited to in vitro use or to specific sequence compositions, as are techniques based on triple-strand formation. And unlike antisense interference, triple-strand interference, and co-suppression, this invention does not suffer from being limited to a particular set of target genes, a particular portion of the target gene's nucleotide sequence, or a particular transgene or viral delivery method. These concerns have been a serious obstacle to designing general strategies according to the prior art for inhibiting gene expression of a target gene of interest.

Furthermore, genetic manipulation becomes possible in organisms that are not classical genetic models. Breeding and screening programs may be accelerated by the ability to rapidly assay the consequences of a specific, targeted gene disruption. Gene disruptions may be used to discover the function of the target gene, to produce disease models in which the target gene are involved in causing or preventing a pathological condition, and to produce organisms with improved economic properties.

#### BRIEF DESCRIPTION OF THE DRAWINGS

FIG. 1 shows the genes used to study RNA-mediated genetic inhibition in *C. elegans*. Intron-exon structure for genes used to test RNA-mediated inhibition are shown (exons: filled boxes; introns: open boxes; 5' and 3' untranslated regions: shaded; *unc-22*<sup>9</sup>, *unc-54*<sup>12</sup>, *fem-1*<sup>14</sup>, and *hlh-1*<sup>15</sup>).

FIGS. 2A-I show analysis of inhibitory RNA effects in individual cells. These experiments were carried out in a reporter strain (called PD4251) expressing two different reporter proteins, nuclear GFP-LacZ and mitochondrial GFP. The micrographs show progeny of injected animals visualized by a fluorescence microscope. Panels A (young larva), B (adult), and C (adult body wall; high magnification) result from injection of a control RNA (ds-*unc22A*). Panels D-F show progeny of animals injected with ds-gfpG. Panels G-I demonstrate specificity. Animals are injected with ds-lacZL RNA, which should affect the nuclear but not the mitochondrial reporter construct. Panel H shows a typical adult, with nuclear GFP-LacZ lacking in almost all body-wall muscles but retained in vulval muscles. Scale bars are 20  $\mu$ m.

FIGS. 3A-D show effects of double-stranded RNA corresponding to *mex-3* on levels of the endogenous mRNA. Micrographs show in situ hybridization to embryos (dark stain). Panel A: Negative control showing lack of staining in the absence of hybridization probe. Panel B: Embryo from uninjected parent (normal pattern of endogenous *mex-3*

RNA<sup>20</sup>). Panel C: Embryo from a parent injected with purified *mex-3B* antisense RNA. These embryos and the parent animals retain the *mex-3* mRNA, although levels may have been somewhat less than wild type. Panel D: Embryo from a parent injected with dsRNA corresponding to *mex-3B*; no *mex-3* RNA was detected. Scale: each embryo is approximately 50  $\mu$ m in length.

FIG. 4 shows inhibitory activity of *unc-22A* as a function of structure and concentration. The main graph indicates fractions in each behavioral class. Embryos in the uterus and already covered with an eggshell at the time of injection were not affected and, thus, are not included. Progeny cohort groups are labeled 1 for 0-6 hours, 2 for 6-15 hours, 3 for 15-27 hours, 4 for 27-41 hours, and 5 for 41-56 hours. The bottom-left diagram shows genetically derived relationship between *unc-22* gene dosage and behavior based on analyses of *unc-22* heterozygotes and polyploids<sup>8,9</sup>.

FIGS. 5A-C show examples of genetic inhibition following ingestion by *C. elegans* of dsRNAs from expressing bacteria. Panel A: General strategy for production of dsRNA by cloning a segment of interest between flanking copies of the bacteriophage T7 promoter and transcribing both strands of the segment by transfecting a bacterial strain (BL21/DE3) expressing the T7 polymerase gene from an inducible (Lac) promoter. Panel B: A GFP-expressing *C. elegans* strain, PD4251 (see FIG. 2), fed on a native bacterial host. Panel C: PD4251 animals reared on a diet of bacteria expressing dsRNA corresponding to the coding region for *gfp*.

#### DETAILED DESCRIPTION OF THE INVENTION

The present invention provides a method of producing sequence-specific inhibition of gene expression by introducing double-stranded RNA (dsRNA). A process is provided for inhibiting expression of a target gene in a cell. The process comprises introduction of RNA with partial or fully double-stranded character into the cell. Inhibition is sequence-specific in that a nucleotide sequence from a portion of the target gene is chosen to produce inhibitory RNA. We disclose that this process is (1) effective in producing inhibition of gene expression, (2) specific to the targeted gene, and (3) general in allowing inhibition of many different types of target gene.

The target gene may be a gene derived from the cell (i.e., a cellular gene), an endogenous gene (i.e., a cellular gene present in the genome), a transgene (i.e., a gene construct inserted at an ectopic site in the genome of the cell), or a gene from a pathogen which is capable of infecting an organism from which the cell is derived. Depending on the particular target gene and the dose of double stranded RNA material delivered, this process may provide partial or complete loss of function for the target gene. A reduction or loss of gene expression in at least 99% of targeted cells has been shown.

Inhibition of gene expression refers to the absence (or observable decrease) in the level of protein and/or mRNA product from a target gene. Specificity refers to the ability to inhibit the target gene without manifest effects on other genes of the cell. The consequences of inhibition can be confirmed by examination of the outward properties of the cell or organism (as presented below in the examples) or by biochemical techniques such as RNA solution hybridization, nuclease protection, Northern hybridization, reverse transcription, gene expression monitoring with a microarray, antibody binding, enzyme linked immunosorbent assay (ELISA), Western blotting, radioimmunoassay (RIA), other immunoassays, and fluorescence activated cell analysis (FACS). For RNA-mediated inhibition in a cell line or whole

organism, gene expression is conveniently assayed by use of a reporter or drug resistance gene whose protein product is easily assayed. Such reporter genes include acetohydroxy-acid synthase (AHAS), alkaline phosphatase (AP), beta galactosidase (LacZ), beta glucuronidase (GUS), chloramphenicol acetyltransferase (CAT), green fluorescent protein (GFP), horseradish peroxidase (HRP), luciferase (Luc), nopaline synthase (NOS), octopine synthase (OCS), and derivatives thereof. Multiple selectable markers are available that confer resistance to ampicillin, bleomycin, chloramphenicol, gentamycin, hygromycin, kanamycin, lincomycin, methotrexate, phosphinothricin, puromycin, and tetracyclin.

Depending on the assay, quantitation of the amount of gene expression allows one to determine a degree of inhibition which is greater than 10%, 33%, 50%, 90%, 95% or 99% as compared to a cell not treated according to the present invention. Lower doses of injected material and longer times after administration of dsRNA may result in inhibition in a smaller fraction of cells (e.g., at least 10%, 20%, 50%, 75%, 90%, or 95% of targeted cells). Quantitation of gene expression in a cell may show similar amounts of inhibition at the level of accumulation of target mRNA or translation of target protein. As an example, the efficiency of inhibition may be determined by assessing the amount of gene product in the cell: mRNA may be detected with a hybridization probe having a nucleotide sequence outside the region used for the inhibitory double-stranded RNA, or translated polypeptide may be detected with an antibody raised against the polypeptide sequence of that region.

The RNA may comprise one or more strands of polymerized ribonucleotide. It may include modifications to either the phosphate-sugar backbone or the nucleoside. For example, the phosphodiester linkages of natural RNA may be modified to include at least one of a nitrogen or sulfur heteroatom. Modifications in RNA structure may be tailored to allow specific genetic inhibition while avoiding a general panic response in some organisms which is generated by dsRNA. Likewise, bases may be modified to block the activity of adenosine deaminase. RNA may be produced enzymatically or by partial/total organic synthesis, any modified ribonucleotide can be introduced by in vitro enzymatic or organic synthesis.

The double-stranded structure may be formed by a single self-complementary RNA strand or two complementary RNA strands. RNA duplex formation may be initiated either inside or outside the cell. The RNA may be introduced in an amount which allows delivery of at least one copy per cell. Higher doses (e.g., at least 5, 10, 100, 500 or 1000 copies per cell) of double-stranded material may yield more effective inhibition; lower doses may also be useful for specific applications. Inhibition is sequence-specific in that nucleotide sequences corresponding to the duplex region of the RNA are targeted for genetic inhibition.

RNA containing a nucleotide sequences identical to a portion of the target gene are preferred for inhibition. RNA sequences with insertions, deletions, and single point mutations relative to the target sequence have also been found to be effective for inhibition. Thus, sequence identity may be optimized by sequence comparison and alignment algorithms known in the art (see Gribskov and Devereux, Sequence Analysis Primer, Stockton Press, 1991, and references cited therein) and calculating the percent difference between the nucleotide sequences by, for example, the Smith-Waterman algorithm as implemented in the BESTFIT software program using default parameters (e.g., University of Wisconsin Genetic Computing Group). Greater than 90% sequence identity, or even 100% sequence identity, between the inhibitory RNA and the portion of the target gene is preferred. Alternatively, the duplex region of the RNA may

be defined functionally as a nucleotide sequence that is capable of hybridizing with a portion of the target gene transcript (e.g., 400 mM NaCl, 40 mM PIPES pH 6.4, 1 mM EDTA, 50° C. or 70° C. hybridization for 12–16 hours; followed by washing). The length of the identical nucleotide sequences may be at least 25, 50, 100, 200, 300 or 400 bases.

As disclosed herein, 100% sequence identity between the RNA and the target gene is not required to practice the present invention. Thus the invention has the advantage of being able to tolerate sequence variations that might be expected due to genetic mutation, strain polymorphism, or evolutionary divergence.

The cell with the target gene may be derived from or contained in any organism. The organism may be a plant, animal, protozoan, bacterium, virus, or fungus. The plant may be a monocot, dicot or gymnosperm; the animal may be a vertebrate or invertebrate. Preferred microbes are those used in agriculture or by industry, and those that are pathogenic for plants or animals. Fungi include organisms in both the mold and yeast morphologies.

Plants include arabidopsis; field crops (e.g., alfalfa, barley, bean, corn, cotton, flax, pea, rape, rice, rye, safflower, sorghum, soybean, sunflower, tobacco, and wheat); vegetable crops (e.g., asparagus, beet, broccoli, cabbage, carrot, cauliflower, celery, cucumber, eggplant, lettuce, onion, pepper, potato, pumpkin, radish, spinach, squash, taro, tomato, and zucchini); fruit and nut crops (e.g., almond, apple, apricot, banana, blackberry, blueberry, cacao, cherry, coconut, cranberry, date, fajoa, filbert, grape, grapefruit, guava, kiwi, lemon, lime, mango, melon, nectarine, orange, papaya, passion fruit, peach, peanut, pear, pineapple, pistachio, plum, raspberry, strawberry, tangerine, walnut, and watermelon); and ornamentals (e.g., alder, ash, aspen, azalea, birch, boxwood, camellia, carnation, chrysanthemum, elm, fir, ivy, jasmine, juniper, oak, palm, poplar, pine, redwood, rhododendron, rose, and rubber).

Examples of vertebrate animals include fish, mammal, cattle, goat, pig, sheep, rodent, hamster, mouse, rat, primate, and human; invertebrate animals include nematodes, other worms, drosophila, and other insects. Representative genera of nematodes include those that infect animals (e.g., Ancylostoma, Ascaridia, Ascaris, Bunostomum, Caenorhabditis, Capillaria, Chabertia, Cooperia, Dictyocaulus, Haemonchus, Heterakis, Nematodirus, Oesophagostomum, Ostertagia, Oxyuris, Parascaris, Strongylus, Toxascaris, Trichuris, Trichostrongylus, Tfhchonema, Toxocara, Uncinaria) and those that infect plants (e.g., Bursaphelenchus, Criconebella, Diitylenchus, Diitylenchus, Globodera, Helicotylenchus, Heterodera, Longidorus, Meloidiogyne, Nacobbus, Paratylenchus, Pratylenchus, Radopholus, Rotelylenchus, Tylenchus, and Xiphinema). Representative orders of insects include Coleoptera, Diptera, Lepidoptera, and Homoptera.

The cell having the target gene may be from the germ line or somatic, totipotent or pluripotent, dividing or non-dividing, parenchyma or epithelium, immortalized or transformed, or the like. The cell may be a stem cell or a differentiated cell. Cell types that are differentiated include adipocytes, fibroblasts, myocytes, cardiomyocytes, endothelium, neurons, glia, blood cells, megakaryocytes, lymphocytes, macrophages, neutrophils, eosinophils, basophils, mast cells, leukocytes, granulocytes, keratinocytes, chondrocytes, osteoblasts, osteoclasts, hepatocytes, and cells of the endocrine or exocrine glands.

RNA may be synthesized either in vivo or in vitro. Endogenous RNA polymerase of the cell may mediate transcription in vivo, or cloned RNA polymerase can be used for transcription in vivo or in vitro. For transcription from a transgene in vivo or an expression construct, a regulatory region (e.g., promoter, enhancer, silencer, splice donor and

acceptor, polyadenylation) may be used to transcribe the RNA strand (or strands). Inhibition may be targeted by specific transcription in an organ, tissue, or cell type; stimulation of an environmental condition (e.g., infection, stress, temperature, chemical inducers); and/or engineering transcription at a developmental stage or age. The RNA strands may or may not be polyadenylated; the RNA strands may or may not be capable of being translated into a polypeptide by a cell's translational apparatus. RNA may be chemically or enzymatically synthesized by manual or automated reactions. The RNA may be synthesized by a cellular RNA polymerase or a bacteriophage RNA polymerase (e.g., T3, T7, SP6). The use and production of an expression construct are known in the art<sup>32,33,34</sup> (see also WO 97/32016; U.S. Pat. Nos. 5,593,874, 5,698,425, 5,712,135, 5,789,214, and 5,804,693; and the references cited therein). If synthesized chemically or by in vitro enzymatic synthesis, the RNA may be purified prior to introduction into the cell. For example, RNA can be purified from a mixture by extraction with a solvent or resin, precipitation, electrophoresis, chromatography, or a combination thereof. Alternatively, the RNA may be used with no or a minimum of purification to avoid losses due to sample processing. The RNA may be dried for storage or dissolved in an aqueous solution. The solution may contain buffers or salts to promote annealing, and/or stabilization of the duplex strands.

RNA may be directly introduced into the cell (i.e., intracellularly); or introduced extracellularly into a cavity, interstitial space, into the circulation of an organism, introduced orally, or may be introduced by bathing an organism in a solution containing the RNA. Methods for oral introduction include direct mixing of the RNA with food of the organism, as well as engineered approaches in which a species that is used as food is engineered to express the RNA, then fed to the organism to be affected. For example, the RNA may be sprayed onto a plant or a plant may be genetically engineered to express the RNA in an amount sufficient to kill some or all of a pathogen known to infect the plant. Physical methods of introducing nucleic acids, for example, injection directly into the cell or extracellular injection into the organism, may also be used. We disclose herein that in *C. elegans*, double-stranded RNA introduced outside the cell inhibits gene expression. Vascular or extravascular circulation, the blood or lymph system, the phloem, the roots, and the cerebrospinal fluid are sites where the RNA may be introduced. A transgenic organism that expresses RNA from a recombinant construct may be produced by introducing the construct into a zygote, an embryonic stem cell, or another multipotent cell derived from the appropriate organism.

Physical methods of introducing nucleic acids include injection of a solution containing the RNA, bombardment by particles covered by the RNA, soaking the cell or organism in a solution of the RNA, or electroporation of cell membranes in the presence of the RNA. A viral construct packaged into a viral particle would accomplish both efficient introduction of an expression construct into the cell and transcription of RNA encoded by the expression construct. Other methods known in the art for introducing nucleic acids to cells may be used, such as lipid-mediated carrier transport, chemical-mediated transport, such as calcium phosphate, and the like. Thus the RNA may be introduced along with components that perform one or more of the following activities: enhance RNA uptake by the cell, promote annealing of the duplex strands, stabilize the annealed strands, or other-wise increase inhibition of the target gene.

The present invention may be used to introduce RNA into a cell for the treatment or prevention of disease. For example, dsRNA may be introduced into a cancerous cell or

tumor and thereby inhibit gene expression of a gene required for maintenance of the carcinogenic/tumorigenic phenotype. To prevent a disease or other pathology, a target gene may be selected which is required for initiation or maintenance of the disease/pathology. Treatment would include amelioration of any symptom associated with the disease or clinical indication associated with the pathology.

A gene derived from any pathogen may be targeted for inhibition. For example, the gene could cause immunosuppression of the host directly or be essential for replication of the pathogen, transmission of the pathogen, or maintenance of the infection. The inhibitory RNA could be introduced in cells in vitro or ex vivo and then subsequently placed into an animal to affect therapy, or directly treated by in vivo administration. A method of gene therapy can be envisioned. For example, cells at risk for infection by a pathogen or already infected cells, particularly human immunodeficiency virus (HIV) infections, may be targeted for treatment by introduction of RNA according to the invention. The target gene might be a pathogen or host gene responsible for entry of a pathogen into its host, drug metabolism by the pathogen or host, replication or integration of the pathogen's genome, establishment or spread of an infection in the host, or assembly of the next generation of pathogen. Methods of prophylaxis (i.e., prevention or decreased risk of infection), as well as reduction in the frequency or severity of symptoms associated with infection, can be envisioned.

The present invention could be used for treatment or development of treatments for cancers of any type, including solid tumors and leukemias, including: apudoma, choristoma, branchioma, malignant carcinoid syndrome, carcinoid heart disease, carcinoma (e.g., Walker, basal cell, basosquamous, Brown-Pearce, ductal, Ehrlich tumor, in situ, Krebs 2, Merkel cell, mucinous, non-small cell lung, oat cell, papillary, scirrhous, bronchiolar, bronchogenic, squamous cell, and transitional cell), histiocytic disorders, leukemia (e.g., B cell, mixed cell, null cell, T cell, T-cell chronic, HTLV-II-associated, lymphocytic acute, lymphocytic chronic, mast cell, and myeloid), histiocytosis malignant, Hodgkin disease, immunoproliferative small, non-Hodgkin lymphoma, plasmacytoma, reticuloendotheliosis, melanoma, chondroblastoma, chondroma, chondrosarcoma, fibroma, fibrosarcoma, giant cell tumors, histiocytoma, lipoma, liposarcoma, mesothelioma, myxoma, myxosarcoma, osteoma, osteosarcoma, Ewing sarcoma, synovioma, adenofibroma, adenolymphoma, carcinosarcoma, chordoma, cranio-pharyngioma, dysgerminoma, hamartoma, mesenchymoma, mesonephroma, myosarcoma, ameloblastoma, cementoma, odontoma, teratoma, thymoma, trophoblastic tumor, adenocarcinoma, adenoma, cholangioma, cholesteatoma, cylindroma, cystadenocarcinoma, cystadenoma, granulosa cell tumor, gynandroblastoma, hepatoma, hidradenoma, islet cell tumor, Leydig cell tumor, papilloma, Sertoli cell tumor, theca cell tumor, leiomyoma, leiomyosarcoma, myoblastoma, myoma, myosarcoma, rhabdomyoma, rhabdomyosarcoma, ependymoma, ganglioneuroma, glioma, medulloblastoma, meningioma, neurilemmoma, neuroblastoma, neuroepithelioma, neurofibroma, neuroma, paraganglioma, paraganglioma nonchromaffin, angiokeratoma, angiolymphoid hyperplasia with eosinophilia, angioma sclerosing, angiomatosis, glomangioma, hemangioendothelioma, hemangioma, hemangiopericytoma, hemangiosarcoma, lymphangioma, lymphangiomyoma, lymphangiosarcoma, pinealoma, carcinosarcoma, chondrosarcoma, cystosarcoma phyllodes, fibrosarcoma, hemangiosarcoma, leiomyosarcoma, leukosarcoma, liposarcoma, lymphangiosarcoma, myosarcoma, myxosarcoma, ovarian carcinoma, rhabdomyosarcoma, sarcoma (e.g., Ewing, experimental, Kaposi, and mast cell), neoplasms (e.g., bone, breast, diges-

tive system, colorectal, liver, pancreatic, pituitary, testicular, orbital, head and neck, central nervous system, acoustic, pelvic, respiratory tract, and urogenital), neurofibromatosis, and cervical dysplasia, and for treatment of other conditions in which cells have become immortalized or transformed. The invention could be used in combination with other treatment modalities, such as chemotherapy, cryotherapy, hyperthermia, radiation therapy, and the like.

As disclosed herein, the present invention may be not limited to any type of target gene or nucleotide sequence. But the following classes of possible target genes are listed for illustrative purposes: developmental genes (e.g., adhesion molecules, cyclin kinase inhibitors, Wnt family members, Pax family members, Winged helix family members, Hox family members, cytokines/lymphokines and their receptors, growth/differentiation factors and their receptors, neurotransmitters and their receptors); oncogenes (e.g., ABL1, BCL1, BCL2, BCL6, CBFA2, CBL, CSF1R, ERBA, ERBB, EBRB2, ETS1, ETS1, ETV6, FGR, FOS, FYN, HCR, HRAS, JUN, KRAS, LCK, LYN, MDM2, MLL, MYB, MYC, MYCL1, MYCN, NRAS, PIM1, PML, RET, SRC, TAL1, TCL3, and YES); tumor suppressor genes (e.g., APC, BRCA1, BRCA2, MADH4, MCC, NF1, NF2, RB1, TP53, and WT1); and enzymes (e.g., ACC synthases and oxidases, ACP desaturases and hydroxylases, ADP-glucose pyrophosphorylases, ATPases, alcohol dehydrogenases, amylases, amyloglucosidases, catalases, cellulases, chalcone synthases, chitinases, cyclooxygenases, decarboxylases, dextrinases, DNA and RNA polymerases, galactosidases, glucanases, glucose oxidases, granulocyte-bound starch synthases, GTPases, helicases, hemicellulases, integrases, inulinases, invertases, isomerases, kinases, lactases, lipases, lipoxygenases, lysozymes, nopaline synthases, octopine synthases, pectinesterases, peroxidases, phosphatases, phospholipases, phosphorylases, phytases, plant growth regulator synthases, polygalacturonases, proteinases and peptidases, pullanases, recombinases, reverse transcriptases, RUBISCOs, topoisomerases, and xylanases).

The present invention could comprise a method for producing plants with reduced susceptibility to climatic injury, susceptibility to insect damage, susceptibility to infection by a pathogen, or altered fruit ripening characteristics. The targeted gene may be an enzyme, a plant structural protein, a gene involved in pathogenesis, or an enzyme that is involved in the production of a non-proteinaceous part of the plant (i.e., a carbohydrate or lipid). If an expression construct is used to transcribe the RNA in a plant, transcription by a wound- or stress-inducible; tissue-specific (e.g., fruit, seed, anther, flower, leaf, root); or otherwise regulatable (e.g., infection, light, temperature, chemical) promoter may be used. By inhibiting enzymes at one or more points in a metabolic pathway or genes involved in pathogenesis, the effect may be enhanced: each activity will be affected and the effects may be magnified by targeting multiple different components. Metabolism may also be manipulated by inhibiting feedback control in the pathway or production of unwanted metabolic byproducts.

The present invention may be used to reduce crop destruction by other plant pathogens such as arachnids, insects, nematodes, protozoans, bacteria, or fungi. Some such plants and their pathogens are listed in Index of plant Diseases in the United States (U.S. Dept. of Agriculture Handbook No. 165, 1960); Distribution of Plant-Parasitic Nematode Species in North America (Society of Nematologists, 1985); and Fungi on Plants and Plant Products in the United States (American Phytopathological Society, 1989). Insects with reduced ability to damage crops or improved ability to prevent other destructive insects from damaging crops may be produced. Furthermore, some nematodes are vectors of plant pathogens, and may be attacked by other beneficial

nematodes which have no effect on plants. Inhibition of target gene activity could be used to delay or prevent entry into a particular developmental step (e.g., metamorphosis), if plant disease was associated with a particular stage of the pathogen's life cycle. Interactions between pathogens may also be modified by the invention to limit crop damage. For example, the ability of beneficial nematodes to attack their harmful prey may be enhanced by inhibition of behavior-controlling nematode genes according to the invention.

Although pathogens cause disease, some of the microbes interact with their plant host in a beneficial manner. For example, some bacteria are involved in symbiotic relationships that fix nitrogen and some fungi produce phytohormones. Such beneficial interactions may be promoted by using the present invention to inhibit target gene activity in the plant and/or the microbe.

Another utility of the present invention could be a method of identifying gene function in an organism comprising the use of double-stranded RNA to inhibit the activity of a target gene of previously unknown function. Instead of the time consuming and laborious isolation of mutants by traditional genetic screening, functional genomics would envision determining the function of uncharacterized genes by employing the invention to reduce the amount and/or alter the timing of target gene activity. The invention could be used in determining potential targets for pharmaceuticals, understanding normal and pathological events associated with development, determining signaling pathways responsible for postnatal development/aging, and the like. The increasing speed of acquiring nucleotide sequence information from genomic and expressed gene sources, including total sequences for the yeast, *D. melanogaster*, and *C. elegans* genomes, can be coupled with the invention to determine gene function in an organism (e.g., nematode). The preference of different organisms to use particular codons, searching sequence databases for related gene products, correlating the linkage map of genetic traits with the physical map from which the nucleotide sequences are derived, and artificial intelligence methods may be used to define putative open reading frames from the nucleotide sequences acquired in such sequencing projects.

A simple assay would be to inhibit gene expression according to the partial sequence available from an expressed sequence tag (EST). Functional alterations in growth, development, metabolism, disease resistance, or other biological processes would be indicative of the normal role of the EST's gene product.

The ease with which RNA can be introduced into an intact cell/organism containing the target gene allows the present invention to be used in high throughput screening (HTS). For example, duplex RNA can be produced by an amplification reaction using primers flanking the inserts of any gene library derived from the target cell/organism. Inserts may be derived from genomic DNA or mRNA (e.g., cDNA and cRNA). Individual clones from the library can be replicated and then isolated in separate reactions, but preferably the library is maintained in individual reaction vessels (e.g., a 96-well microtiter plate) to minimize the number of steps required to practice the invention and to allow automation of the process. Solutions containing duplex RNAs that are capable of inhibiting the different expressed genes can be placed into individual wells positioned on a microtiter plate as an ordered array, and intact cells/organisms in each well can be assayed for any changes or modifications in behavior or development due to inhibition of target gene activity. The amplified RNA can be fed directly to, injected into, the cell/organism containing the target gene. Alternatively, the duplex RNA can be produced by in vivo or in vitro transcription from an expression construct used to produce the library. The construct can be replicated as individual clones

of the library and transcribed to produce the RNA; each clone can then be fed to, or injected into, the cell/organism containing the target gene. The function of the target gene can be assayed from the effects it has on the cell/organism when gene activity is inhibited. This screening could be amenable to small subjects that can be processed in large number, for example: arabidopsis, bacteria, drosophila, fungi, nematodes, viruses, zebrafish, and tissue culture cells derived from mammals.

A nematode or other organism that produces a colorimetric, fluorogenic, or luminescent signal in response to a regulated promoter (e.g., transfected with a reporter gene construct) can be assayed in an HTS format to identify DNA-binding proteins that regulate the promoter. In the assay's simplest form, inhibition of a negative regulator results in an increase of the signal and inhibition of a positive regulator results in a decrease of the signal.

If a characteristic of an organism is determined to be genetically linked to a polymorphism through RFLP or QTL analysis, the present invention can be used to gain insight regarding whether that genetic polymorphism might be directly responsible for the characteristic. For example, a fragment defining the genetic polymorphism or sequences in the vicinity of such a genetic polymorphism can be amplified to produce an RNA, the duplex RNA can be introduced to the organism, and whether an alteration in the characteristic is correlated with inhibition can be determined. Of course, there may be trivial explanations for negative results with this type of assay, for example: inhibition of the target gene causes lethality, inhibition of the target gene may not result in any observable alteration, the fragment contains nucleotide sequences that are not capable of inhibiting the target gene, or the target gene's activity is redundant.

The present invention may be useful in allowing the inhibition of essential genes. Such genes may be required for cell or organism viability at only particular stages of development or cellular compartments. The functional equivalent of conditional mutations may be produced by inhibiting activity of the target gene when or where it is not required for viability. The invention allows addition of RNA at specific times of development and locations in the organism without introducing permanent mutations into the target genome.

If alternative splicing produced a family of transcripts that were distinguished by usage of characteristic exons, the present invention can target inhibition through the appropriate exons to specifically inhibit or to distinguish among the functions of family members. For example, a hormone that contained an alternatively spliced transmembrane domain may be expressed in both membrane bound and secreted forms. Instead of isolating a nonsense mutation that terminates translation before the transmembrane domain, the functional consequences of having only secreted hormone can be determined according to the invention by targeting the exon containing the transmembrane domain and thereby inhibiting expression of membrane-bound hormone.

The present invention may be used alone or as a component of a kit having at least one of the reagents necessary to carry out the in vitro or in vivo introduction of RNA to test samples or subjects. Preferred components are the dsRNA and a vehicle that promotes introduction of the dsRNA. Such a kit may also include instructions to allow a user of the kit to practice the invention.

Pesticides may include the RNA molecule itself, an expression construct capable of expressing the RNA, or organisms transfected with the expression construct. The pesticide of the present invention may serve as an arachnicide, insecticide, nematocide, viricide, bactericide, and/or fungicide. For example, plant parts that are accessible above ground (e.g., flowers, fruits, buds, leaves, seeds,

shoots, bark, stems) may be sprayed with pesticide, the soil may be soaked with pesticide to access plant parts growing beneath ground level, or the pest may be contacted with pesticide directly. If pests interact with each other, the RNA may be transmitted between them. Alternatively, if inhibition of the target gene results in a beneficial effect on plant growth or development, the aforementioned RNA, expression construct, or transfected organism may be considered a nutritional agent. In either case, genetic engineering of the plant is not required to achieve the objectives of the invention.

Alternatively, an organism may be engineered to produce dsRNA which produces commercially or medically beneficial results, for example, resistance to a pathogen or its pathogenic effects, improved growth, or novel developmental patterns.

Used as either a pesticide or nutrient, a formulation of the present invention may be delivered to the end user in dry or liquid form: for example, as a dust, granulate, emulsion, paste, solution, concentrate, suspension, or encapsulation. Instructions for safe and effective use may also be provided with the formulation. The formulation might be used directly, but concentrates would require dilution by mixing with an extender provided by the formulator or the end user. Similarly, an emulsion, paste, or suspension may require the end user to perform certain preparation steps before application. The formulation may include a combination of chemical additives known in the art such as solid carriers, minerals, solvents, dispersants, surfactants, emulsifiers, tackifiers, binders, and other adjuvants. Preservatives and stabilizers may also be added to the formulation to facilitate storage. The crop area or plant may also be treated simultaneously or separately with other pesticides or fertilizers. Methods of application include dusting, scattering or pouring, soaking, spraying, atomizing, and coating. The precise physical form and chemical composition of the formulation, and its method of application, would be chosen to promote the objectives of the invention and in accordance with prevailing circumstances. Expression constructs and transfected hosts capable of replication may also promote the persistence and/or spread of the formulation.

#### Description of the dsRNA Inhibition Phenomenon in *C. elegans*

The operation of the present invention was shown in the model genetic organism *Caenorhabditis elegans*.

Introduction of RNA into cells had been seen in certain biological systems to interfere with function of an endogenous gene<sup>1,2</sup>. Many such effects were believed to result from a simple antisense mechanism dependent on hybridization between injected single-stranded RNA and endogenous transcripts. In other cases, a more complex mechanism had been suggested. One instance of an RNA-mediated mechanism was RNA interference (RNAi) phenomenon in the nematode *C. elegans*. RNAi had been used in a variety of studies to manipulate gene expression<sup>3,4</sup>.

Despite the usefulness of RNAi in *C. elegans*, many features had been difficult to explain. Also, the lack of a clear understanding of the critical requirements for interfering RNA led to a sporadic record of failure and partial success in attempts to extend RNAi beyond the earliest stages following injection. A statement frequently made in the literature was that sense and antisense RNA preparations are each sufficient to cause interference<sup>3,4</sup>. The only precedent for such a situation was in plants where the process of cosuppression had a similar history of usefulness in certain cases, failure in others, and no ability to design interference protocols with a high chance of success. Working with *C. elegans*, we discovered an RNA structure that would give

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effective and uniform genetic inhibition. The prior art did not teach or suggest that RNA structure was a critical feature for inhibition of gene expression. Indeed the ability of crude sense and antisense preparations to produce interference<sup>3,4</sup> had been taken as an indication that RNA structure was not a critical factor. Instead, the extensive plant literature and much of the ongoing research in *C. elegans* was focused on the possibility that detailed features of the target gene sequence or its chromosomal locale was the critical feature for interfering with gene expression.

The inventors carefully purified sense or antisense RNA for unc-22 and tested each for gene-specific inhibition. While the crude sense and antisense preparations had strong interfering activity, it was found that the purified sense and antisense RNAs had only marginal inhibitory activity. This was unexpected because many techniques in molecular biology are based on the assumption that RNA produced with specific in vitro promoters (e.g., T3 or T7 RNA polymerase), or with characterized promoters in vivo, is produced predominantly from a single strand. The inventors had carried out purification of these crude preparations to investigate whether a small fraction of the RNA had an unusual structure which might be responsible for the observed genetic inhibition. To rigorously test whether double-stranded character might contribute to genetic inhibition, the inventors carried out additional purification of single-stranded RNAs and compared inhibitory activities of individual strands with that of the double-stranded hybrid.

The following examples are meant to be illustrative of the present invention; however, the practice of the invention is not limited or restricted in any way by them.

#### Analysis of RNA-Mediated Inhibition of *C. elegans* Genes

The unc-22 gene was chosen for initial comparisons of activity as a result of previous genetic analysis that yields a semi-quantitative comparison between unc-22 gene activity and the movement phenotypes of animals<sup>3,8</sup>; decreases in activity produce an increasingly severe twitching phenotype, while complete loss of function results in the additional appearance of muscle structural defects and impaired motility. unc-22 encodes an abundant but non-essential myofilament protein<sup>7,9</sup>. unc-22 mRNA is present at several thousand copies per striated muscle cell<sup>3</sup>.

Purified antisense and sense RNAs covering a 742 nt segment of unc-22 had only marginal inhibitory activity, requiring a very high dose of injected RNA for any observable effect (FIG. 4). By contrast, a sense+antisense mixture produced a highly effective inhibition of endogenous gene activity (FIG. 4). The mixture was at least two orders of magnitude more effective than either single strand in inhibiting gene expression. The lowest dose of the sense+antisense mixture tested, approximately 60,000 molecules of each strand per adult, led to twitching phenotypes in an average of 100 progeny. unc-22 expression begins in embryos with approximately 500 cells. At this point, the original injected material would be diluted to at most a few molecules per cell.

The potent inhibitory activity of the sense+antisense mixture could reflect formation of double-stranded RNA (dsRNA), or conceivably some alternate synergy between the strands. Electrophoretic analysis indicated that the injected material was predominantly double stranded. The dsRNA was gel purified from the annealed mixture and found to retain potent inhibitory activity. Although annealing prior to injection was compatible with inhibition, it was not necessary. Mixing of sense and antisense RNAs in low salt (under conditions of minimal dsRNA formation), or rapid sequential injection of sense and antisense strands,

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were sufficient to allow complete inhibition. A long interval (>1 hour) between sequential injections of sense and antisense RNA resulted in a dramatic decrease in inhibitory activity. This suggests that injected single strands may be degraded or otherwise rendered inaccessible in the absence of the complementary strand.

An issue of specificity arises when considering known cellular responses to dsRNA. Some organisms have a dsRNA-dependent protein kinase that activates a panic response mechanism<sup>10</sup>. Conceivably, the inventive sense+antisense synergy could reflect a non-specific potentiation of antisense effects by such a panic mechanism. This was not found to be the case: co-injection of dsRNA segments unrelated to unc-22 did not potentiate the ability of unc-22 single strands to mediate inhibition. Also investigated was whether double-stranded structure could potentiate inhibitory activity when placed in cis to a single-stranded segment. No such potentiation was seen; unrelated double-stranded sequences located 5' or 3' of a single-stranded unc-22 segment did not stimulate inhibition. Thus potentiation of gene-specific inhibition was observed only when dsRNA sequences exist within the region of homology with the target gene.

The phenotype produced by unc-22 dsRNA was specific. Progeny of injected animals exhibited behavior indistinguishable from characteristic unc-22 loss of function mutants. Target-specificity of dsRNA effects using three additional genes with well characterized phenotypes (FIG. 1 and Table 1). unc-54 encodes a body wall muscle myosin heavy chain isoform required for full muscle contraction<sup>7</sup>. *unc-54*, *fem-1* encodes an ankyrin-repeat containing protein required in hermaphrodites for sperm production<sup>11,12</sup>, and *hlh-1* encodes a *C. elegans* homolog of the myoD family required for proper body shape and motility<sup>15,16</sup>. For each of these genes, injection of dsRNA produced progeny broods exhibiting the known null mutant phenotype, while the purified single strands produced no significant reduction in gene expression. With one exception, all of the phenotypic consequences of dsRNA injection were those expected from inhibition of the corresponding gene. The exception (segment unc54C, which led to an embryonic and larval arrest phenotype not seen with unc-54 null mutants) was illustrative. This segment covers the highly conserved myosin motor domain, and might have been expected to inhibit the activity of other highly related myosin heavy chain genes<sup>17</sup>. This interpretation would support uses of the present invention in which nucleotide sequence comparison of dsRNA and target gene show less than 100% identity. The unc54C segment has been unique in our overall experience to date: effects of 18 other dsRNA segments have all been limited to those expected from characterized null mutants.

The strong phenotypes seen following dsRNA injection are indicative of inhibitory effects occurring in a high fraction of cells. The unc-54 and *hlh-1* muscle phenotypes, in particular, are known to result from a large number of defective muscle cells<sup>11,16</sup>. To examine inhibitory effects of dsRNA on a cellular level, a transgenic line expressing two different GFP-derived fluorescent reporter proteins in body muscle was used. Injection of dsRNA directed to *gfp* produced dramatic decreases in the fraction of fluorescent cells (FIG. 2). Both reporter proteins were absent from the negative cells, while the few positive cells generally expressed both GFP forms.

The pattern of mosaicism observed with *gfp* inhibition was not random. At low doses of dsRNA, the inventors saw frequent inhibition in the embryonically-derived muscle cells present when the animal hatched. The inhibitory effect in these differentiated cells persisted through larval growth: these cells produced little or no additional GFP as the affected animals grew. The 14 postembryonically-derived



striated muscles are born during early larval stages and were more resistant to inhibition. These cells have come through additional divisions (13–14 versus 8–9 for embryonic muscles<sup>18,19</sup>). At high concentrations of gfp dsRNA, inhibition was noted in virtually all striated bodywall muscles, with occasional single escaping cells including cells born in embryonic or postembryonic stages. The nonstriated vulval muscles, born during late larval development, appeared resistant to genetic inhibition at all tested concentrations of injected RNA. The latter result is important for evaluating the use of the present invention in other systems. First, it indicates that failure in one set of cells from an organism does not necessarily indicate complete non-applicability of the invention to that organism. Second, it is important to realize that not all tissues in the organism need to be affected for the invention to be used in an organism. This may serve as an advantage in some situations.

A few observations serve to clarify the nature of possible targets and mechanisms for RNA-mediated genetic inhibition in *C. elegans*:

First, dsRNA segments corresponding to a variety of intron and promoter sequences did not produce detectable inhibition (Table 1). Although consistent with possible inhibition at a post-transcriptional level, these experiments do not rule out inhibition at the level of the gene.

Second, dsRNA injection produced a dramatic decrease in the level of the endogenous mRNA transcript (FIG. 3). Here, a mex-3 transcript that is abundant in the gonad and early embryos<sup>20</sup> was targeted, where straightforward in situ hybridization can be performed. No endogenous mex-3 mRNA was observed in animals injected with a dsRNA segment derived from mex-3 (FIG. 3D), but injection of purified mex-3 antisense RNA resulted in animals that retained substantial endogenous mRNA levels (FIG. 3C).

Third, dsRNA-mediated inhibition showed a surprising ability to cross cellular boundaries. Injection of dsRNA for unc-22, gfp, or lacZ into the body cavity of the head or tail produced a specific and robust inhibition of gene expression in the progeny brood (Table 2). Inhibition was seen in the progeny of both gonad arms, ruling out a transient “nicking” of the gonad in these injections. dsRNA injected into body cavity or gonad of young adults also produced gene-specific inhibition in somatic tissues of the injected animal (Table 2).

Table 3 shows that *C. elegans* can respond in a gene-specific manner to dsRNA encountered in the environment. Bacteria are a natural food source for *C. elegans*. The bacteria are ingested, ground in the animal's pharynx, and the bacterial contents taken up in the gut. The results show that *E. coli* bacteria expressing dsRNAs can confer specific inhibitory effects on *C. elegans* nematode larvae that feed on them.

Three *C. elegans* genes were analyzed. For each gene, corresponding dsRNA was expressed in *E. coli* by inserting a segment of the coding region into a plasmid construct designed for bidirectional transcription by bacteriophage T7 RNA polymerase. The dsRNA segments used for these experiments were the same as those used in previous microinjection experiments (see FIG. 1). The effects resulting from feeding these bacteria to *C. elegans* were compared to the effects achieved by microinjecting animals with dsRNA.

The *C. elegans* gene unc-22 encodes an abundant muscle filament protein. unc-22 null mutations produce a characteristic and uniform twitching phenotype in which the animals can sustain only transient muscle contraction. When wild-type animals were fed bacteria expressing a dsRNA segment from unc-22, a high fraction (85%) exhibited a weak but still distinct twitching phenotype characteristic of partial loss of function for the unc-22 gene. The *C. elegans* fem-1 gene encodes a late component of the sex determi-

nation pathway. Null mutations prevent the production of sperm and lead euploid (XX) animals to develop as females, while wild type XX animals develop as hermaphrodites. When wild-type animals were fed bacteria expressing dsRNA corresponding to fem-1, a fraction (43%) exhibit a sperm-less (female) phenotype and were sterile. Finally, the ability to inhibit gene expression of a transgene target was assessed. When animals carrying a gfp transgene were fed bacteria expressing dsRNA corresponding to the gfp reporter, an obvious decrease in the overall level of GFP fluorescence was observed, again in approximately 12% of the population (see FIG. 5, panels B and C).

The effects of these ingested RNAs were specific. Bacteria carrying different dsRNAs from fem-1 and gfp produced no twitching, dsRNAs from unc-22 and fem-1 did not reduce gfp expression, and dsRNAs from gfp and unc-22 did not produce females. These inhibitory effects were apparently mediated by dsRNA: bacteria expressing only the sense or antisense strand for either gfp or unc-22 caused no evident phenotypic effects on their *C. elegans* predators.

Table 4 shows the effects of bathing *C. elegans* in a solution containing dsRNA. Larvae were bathed for 24 hours in solutions of the indicated dsRNAs (1 mg/ml), then allowed to recover in normal media and allowed to grow under standard conditions for two days. The unc-22 dsRNA was segment ds-unc22A from FIG. 1. pos-1 and sqt-3 dsRNAs were from the full length cDNA clones. pos-1 encodes an essential maternally provided component required early in embryogenesis. Mutations removing pos-1 activity have an early embryonic arrest characteristic of skn-like mutations<sup>29,30</sup>. Cloning and activity patterns for sqt-3 have been described<sup>31</sup>. *C. elegans* sqt-3 mutants have mutations in the col-1 collagen gene<sup>31</sup>. Phenotypes of affected animals are noted. Incidences of clear phenotypic effects in these experiments were 5–10% for unc-22, 50% for pos-1, and 5% for sqt-3. These are frequencies of unambiguous phenocopies; other treated animals may have had marginal defects corresponding to the target gene that were not observable. Each treatment was fully gene-specific in that unc-22 dsRNA produced only Unc-22 phenotypes, pos-1 dsRNA produced only Pos-1 phenotypes, and sqt-3 dsRNA produced only Sqt-3 phenotypes.

Some of the results described herein were published after the filing of our provisional application. Those publications and a review can be cited as Fire, A., et al. Nature, 391, 806–811, 1998; Timmons, L. & Fire, A. Nature, 395, 854, 1998; and Montgomery, M. K. & Fire, A. Trends in Genetics, 14, 255–258, 1998.

The effects described herein significantly augment available tools for studying gene function in *C. elegans* and other organisms. In particular, functional analysis should now be possible for a large number of interesting coding regions<sup>21</sup> for which no specific function have been defined. Several of these observations show the properties of dsRNA that may affect the design of processes for inhibition of gene expression. For example, one case was observed in which a nucleotide sequence shared between several myosin genes may inhibit gene expression of several members of a related gene family.

#### Methods of RNA Synthesis and Microinjection

RNA was synthesized from phagemid clones with T3 and T7 RNA polymerase<sup>6</sup>, followed by template removal with two sequential DNase treatments. In cases where sense, antisense, and mixed RNA populations were to be compared, RNAs were further purified by electrophoresis on low-gelling-temperature agarose. Gel-purified products appeared to lack many of the minor bands seen in the original “sense” and “antisense” preparations. Nonetheless,



RNA species accounting for less than 10% of purified RNA preparations would not have been observed. Without gel purification, the "sense" and "antisense" preparations produced significant inhibition. This inhibitory activity was reduced or eliminated upon gel purification. By contrast, sense+antisense mixtures of gel purified and non-gel-purified RNA preparations produced identical effects.

Following a short (5 minute) treatment at 68° C. to remove secondary structure, sense+antisense annealing was carried out in injection buffer<sup>27</sup> at 37° C. for 10–30 minutes. Formation of predominantly double stranded material was confirmed by testing migration on a standard (non-denaturing) agarose gel: for each RNA pair, gel mobility was shifted to that expected for double-stranded RNA of the appropriate length. Co-incubation of the two strands in a low-salt buffer (5 mM Tris-HCl pH 7.5, 0.5 mM EDTA) was insufficient for visible formation of double-stranded RNA in vitro. Non-annealed sense+antisense RNAs for *unc22B* and *gfpG* were tested for inhibitory effect and found to be much more active than the individual single strands, but 2–4 fold less active than equivalent pre-annealed preparations.

After pre-annealing of the single strands for *unc22A*, the single electrophoretic species corresponding in size to that expected for dsRNA was purified using two rounds of gel electrophoresis. This material retained a high degree of inhibitory activity.

Except where noted, injection mixes were constructed so animals would receive an average of  $0.5 \times 10^6$  to  $1.0 \times 10^6$  molecules of RNA. For comparisons of sense, antisense, and dsRNA activities, injections were compared with equal masses of RNA (i.e., dsRNA at half the molar concentration of the single strands). Numbers of molecules injected per adult are given as rough approximations based on concentration of RNA in the injected material (estimated from ethidium bromide staining) and injection volume (estimated from visible displacement at the site of injection). A variability of several-fold in injection volume between individual animals is possible; however, such variability would not affect any of the conclusions drawn herein.

#### Methods for Analysis of Phenotypes

Inhibition of endogenous genes was generally assayed in a wild type genetic background (N2). Features analyzed included movement, feeding, hatching, body shape, sexual identity, and fertility. Inhibition with *gfp*<sup>27</sup> and *lacZ* activity was assessed using strain PD4251. This strain is a stable transgenic strain containing an integrated array (*ccls4251*) made up of three plasmids: *pSAK4* (myo-3 promoter driving mitochondrially targeted GFP), *pSAK2* (myo-3 promoter driving a nuclear targeted GFP-LacZ fusion), and a *dpy-20* subclone<sup>26</sup> as a selectable marker. This strain produces GFP in all body muscles, with a combination of mitochondrial and nuclear localization. The two distinct compartments are easily distinguished in these cells, allowing a facile distinction between cells expressing both, either, or neither of the original GFP constructs.

Gonadal injection was performed by inserting the micro-injection needle into the gonadal syncytium of adults and expelling 20–100 pl of solution (see Reference 25). Body cavity injections followed a similar procedure, with needle insertion into regions of the head and tail beyond the positions of the two gonad arms. Injection into the cytoplasm of intestinal cells was another effective means of RNA delivery, and may be the least disruptive to the animal. After recovery and transfer to standard solid media, injected animals were transferred to fresh culture plates at 16 hour intervals. This yields a series of semi-synchronous cohorts in which it was straightforward to identify phenotypic differences. A characteristic temporal pattern of phenotypic sever-

ity is observed among progeny. First, there is a short "clearance" interval in which unaffected progeny are produced. These include impermeable fertilized eggs present at the time of injection. After the clearance period, individuals are produced which show the inhibitory phenotype. After injected animals have produced eggs for several days, gonads can in some cases "revert" to produce incompletely affected or phenotypically normal progeny.

#### Additional Description of the Results

FIG. 1 shows genes used to study RNA-mediated genetic inhibition in *C. elegans*. Intron-exon structure for genes used to test RNA-mediated inhibition are shown (exons: filled boxes; introns: open boxes; 5' and 3' untranslated regions: shaded; sequence references are as follows: *unc-22*<sup>9</sup>, *unc-54*<sup>12</sup>, *fem-1*<sup>14</sup>, and *hlh-1*<sup>15</sup>). These genes were chosen based on: (1) a defined molecular structure, (2) classical genetic data showing the nature of the null phenotype. Each segment tested for inhibitory effects is designated with the name of the gene followed by a single letter (e.g., *unc22C*). Segments derived from genomic DNA are shown above the gene, segments derived from cDNA are shown below the gene. The consequences of injecting double-stranded RNA segments for each of these genes is described in Table 1. dsRNA sequences from the coding region of each gene produced a phenotype resembling the null phenotype for that gene.

The effects of inhibitory RNA were analyzed in individual cells (FIG. 2, panels A–H). These experiments were carried out in a reporter strain (called PD4251) expressing two different reporter proteins: nuclear GFP-LacZ and mitochondrial GFP, both expressed in body muscle. The fluorescent nature of these reporter proteins allowed us to examine individual cells under the fluorescence microscope to determine the extent and generality of the observed inhibition of gene. ds-*unc22A* RNA was injected as a negative control. GFP expression in progeny of these injected animals was not affected. The GFP patterns of these progeny appeared identical to the parent strain, with prominent fluorescence in nuclei (the nuclear localized GFP-LacZ) and mitochondria (the mitochondrially targeted GFP): young larva (FIG. 2A), adult (FIG. 2B), and adult body wall at high magnification (FIG. 2C).

In contrast, the progeny of animals injected with ds-*gfpG* RNA are affected (FIGS. 2D–F). Observable GFP fluorescence is completely absent in over 95% of the cells. Few active cells were seen in larvae (FIG. 2D shows a larva with one active cell; uninjected controls show GFP activity in all 81 body wall muscle cells). Inhibition was not effective in all tissues: the entire vulval musculature expressed active GFP in an adult animal (FIG. 2E). Rare GFP positive body wall muscle cells were also seen adult animals (two active cells are shown in FIG. 2F). Inhibition was target specific (FIGS. 2G–I). Animals were injected with ds-*lacZL* RNA, which should affect the nuclear but not the mitochondrial reporter construct. In the animals derived from this injection, mitochondrial-targeted GFP appeared unaffected while the nuclear-targeted GFP-LacZ was absent from almost all cells (larva in FIG. 2G). A typical adult lacked nuclear GFP-LacZ in almost all body-wall muscles but retained activity in vulval muscles (FIG. 2H). Scale bars in FIG. 2 are 20  $\mu$ m.

The effects of double-stranded RNA corresponding to *mex-3* on levels of the endogenous mRNA was shown by in situ hybridization to embryos (FIG. 3, panels A–D). The 1262 nt *mex-3* cDNA clone<sup>20</sup> was divided into two segments, *mex-3A* and *mex-3B* with a short (325 nt) overlap. Similar results were obtained in experiments with no overlap between inhibiting and probe segments. *mex-3B* antisense or dsRNA was injected into the gonads of adult animals, which were maintained under standard culture conditions for 24 hours before fixation and in situ hybridization (see

Reference 5). The mex-3B dsRNA produced 100% embryonic arrest, while >90% of embryos from the antisense injections hatched. Antisense probes corresponding to mex-3A were used to assay distribution of the endogenous mex-3 mRNA (dark stain). Four-cell stage embryos were assayed; similar results were observed from the 1 to 8 cell stage and in the germline of injected adults. The negative control (the absence of hybridization probe) showed a lack of staining (FIG. 3A). Embryos from uninjected parents showed a normal pattern of endogenous mex-3 RNA (FIG. 3B). The observed pattern of mex-3 RNA was as previously described in Reference 20. Injection of purified mex-3B antisense RNA produced at most a modest effect: the resulting embryos retained mex-3 mRNA, although levels may have been somewhat less than wild type (FIG. 3C). In contrast, no mex-3 RNA was detected in embryos from parents injected with dsRNA corresponding to mex-3 (FIG. 3D). The scale of FIG. 3 is such that each embryo is approximately 50  $\mu$ m in length.

Gene-specific inhibitory activity by unc-22A RNA was measured as a function of RNA structure and concentration (FIG. 4). Purified antisense and sense RNA from unc22A were injected individually or as an annealed mixture. "Control" was an unrelated dsRNA (gfpG). Injected animals were transferred to fresh culture plates 6 hours (columns labeled 1), 15 hours (columns labeled 2), 27 hours (columns labeled 3), 41 hours (columns labeled 4), and 56 hours (columns labeled 5) after injection. Progeny grown to adulthood were scored for movement in their growth environment, then examined in 0.5 mM levamisole. The main graph indicates fractions in each behavioral class. Embryos in the uterus and already covered with an eggshell at the time of injection were not affected and, thus, are not included in the graph. The bottom-left diagram shows the genetically derived relationship between unc-22 gene dosage and behavior based on analyses of unc-22 heterozygotes and polyploids<sup>3</sup>.

FIGS. 5A-C show a process and examples of genetic inhibition following ingestion by *C. elegans* of dsRNAs from expressing bacteria. A general strategy for production of dsRNA is to clone segments of interest between flanking copies of the bacteriophage T7 promoter into a bacterial plasmid construct (FIG. 5A). A bacterial strain (BL21/DE3)<sup>28</sup> expressing the T7 polymerase gene from an inducible (Lac) promoter was used as a host. A nuclease-resistant dsRNA was detected in lysates of transfected bacteria. Comparable inhibition results were obtained with the two bacterial expression systems. A GFP-expressing *C. elegans* strain, PD4251 (see FIG. 2), was fed on a native bacterial host. These animals show a uniformly high level of GFP fluorescence in body muscles (FIG. 5B). PD4251 animals were also reared on a diet of bacteria expressing dsRNA corresponding to the coding region for gfp. Under the conditions of this experiment, 12% of these animals showed dramatic decreases in GFP (FIG. 5C). As an alternative

strategy, single copies of the T7 promoter were used to drive expression of an inverted-duplication for a segment of the target gene, either unc-22 or gfp. This was comparably effective.

All references (e.g., books, articles, applications, and patents) cited in this specification are indicative of the level of skill in the art and their disclosures are incorporated herein in their entirety.

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TABLE 1

Gene and Segment		Effects of sense, antisense, and mixed RNAs on progeny of injected animals.	
		Size Injected RNA	F1 Phenotype
unc-22		unc-22 null mutants: strong twitchers <sup>7,8</sup>	
unc22A*	exon 21-22	742 sense	wild type
		antisense	wild type
		sense + antisense	strong twitchers (100%)
unc22B	exon27	1033 sense	wild type
		antisense	wild type

TABLE 1-continued

Effects of sense, antisense, and mixed RNAs on progeny of injected animals.			
Gene and Segment	Size	Injected RNA	F1 Phenotype
<u>unc22C</u> <u>fem-1</u>	exon 21-22 <sup>b</sup>	785 sense + antisense sense + antisense	strong twitchers (100%) strong twitchers (100%) fem-1 null mutants: female (no sperm) <sup>13</sup>
<u>fem1A</u>	exon 10 <sup>c</sup>	531 sense antisense sense + antisense	hermaphrodite (98%) hermaphrodite (>98%) female (72%)
<u>fem1B</u> <u>unc-54</u>	intron 8	556 sense + antisense	hermaphrodite (>98%) unc-54 null mutants: paralyzed <sup>7,11</sup>
<u>unc54A</u>	exon 6	576 sense antisense sense + antisense	wild type (100%) wild type (100%) paralyzed (100%) <sup>11</sup>
<u>unc54B</u>	exon 6	651 sense antisense sense + antisense	wild type (100%) wild type (100%) paralyzed (100%) <sup>11</sup>
<u>unc54C</u> <u>unc54D</u> <u>unc54E</u> <u>unc54F</u> <u>hlh-1</u>	exon 1-5 promoter intron 1 intron 3	1015 sense + antisense 567 sense + antisense 369 sense + antisense 386 sense + antisense	arrested embryos and larvae (100%) wild type (100%) wild type (100%) wild type (100%) hlh-1 null mutants: lumpy-dumpy larvae <sup>16</sup>
<u>h/h1A</u>	exons 1-6	1033 sense antisense sense + antisense	wild type (<2% lpy-dpy) wild type (<2% lpy-dpy) lpy-dpy larvae (>90%) <sup>e</sup>
<u>hlh1B</u> <u>hlh1C</u> <u>hlh1D</u> <u>myo-3 driven GFP transgenes<sup>f</sup></u>	exons 1-2 exons 4-6 intron 1	438 sense + antisense 299 sense + antisense 697 sense + antisense	lpy-dpy larvae (>80%) <sup>e</sup> lpy-dpy larvae (>80%) <sup>e</sup> wild type (<2% lpy-dpy) makes nuclear GFP in body muscle
<u>myo-3::NLS::gfp::lacZ</u>			
<u>gfpG</u>	exons 2-5	730 sense antisense sense + antisense	nuclear GFP-LacZ pattern of parent strain nuclear GFP-LacZ pattern of parent strain nuclear GFP-LacZ absent in 98% of cells
<u>lacZL</u> <u>myo-3::MitoLS::gfp</u>	exon 12-14	830 sense + antisense	nuclear GFP-LacZ absent in >95% of cells makes mitochondrial GFP in body muscle
<u>gfpG</u>	exons 2-5	730 sense antisense sense + antisense	mitochondrial GFP pattern of parent strain mitochondrial GFP pattern of parent strain mitochondrial GFP absent in 98% of cells
<u>lacZL</u>	exon 12-14	830 sense + antisense	mitochondrial GFP pattern of parent strain

## Legend of Table 1

Each RNA was injected into 6-10 adult hermaphrodites (0.5-1×10<sup>6</sup> molecules into each gonad arm). After 4-6 hours (to clear pre-fertilized eggs from the uterus) injected animals were transferred and eggs collected for 20-22 hours. Progeny phenotypes were scored upon hatching and subsequently at 12-24 hour intervals.

a: To obtain a semi-quantitative assessment of the relationship between RNA dose and phenotypic response, we injected each unc22A RNA preparation at a series of different concentrations. At the highest dose tested (3.6×10<sup>6</sup> molecules per gonad), the individual sense and antisense unc22A preparations produced some visible twitching (1% and 11% of progeny respectively). Comparable doses of ds-unc22A RNA produced visible twitching in all progeny, while a 120-fold lower dose of ds-unc22A RNA produced visible twitching in 30% of progeny.

b: unc22C also carries the intervening intron (43 nt).

c: fem1A also carries a portion (131 nt) of intron 10.

d: Animals in the first affected broods (laid at 4-24 hours after injection) showed movement defects indistinguishable from those of null mutants in unc-54. A variable fraction of these animals (25-75%) failed to lay eggs (another phenotype of unc-54 null mutants), while the remainder of the paralyzed animals were egg-laying positive. This may indi-

cate partial inhibition of unc-54 activity in vulval muscles.

Animals from later broods frequently exhibit a distinct partial loss-of-function phenotype, with contractility in a subset of body wall muscles.

e: Phenotypes of hlh-1 inhibitory RNA include arrested embryos and partially elongated L1 larvae (the hlh-1 null phenotype) seen in virtually all progeny from injection of ds-hlh1A and about half of the affected animals from ds-hlh1B and ds-hlh1C) and a set of less severe defects (seen with the remainder of the animals from ds-hlh1B and ds-hlh1C). The less severe phenotypes are characteristic of partial loss of function for hlh-1.

f: The host for these injections, PD4251, expresses both mitochondrial GFP and nuclear GFP-LacZ. This allows simultaneous assay for inhibition of gfp (loss of all fluorescence) and lacZ (loss of nuclear fluorescence). The table describes scoring of animals as L1 larvae. ds-gfpG caused a loss of GFP in all but 0-3 of the 85 body muscles in these larvae. As these animals mature to adults, GFP activity was seen in 0-5 additional bodywall muscles and in the eight vulval muscles.

TABLE 2

Effect of injection point on genetic inhibition in injected animals and their progeny			
dsRNA	Site of injection	Injected animal phenotype	Progeny Phenotype
None	gonad or body cavity	no twitching	no twitching
None	gonad or body cavity	strong nuclear & mitochondrial GFP	strong nuclear & mitochondrial GFP
unc22B	Gonad	weak twitchers	strong twitchers
unc22B	Body Cavity Head	weak twitchers	strong twitchers
unc22B	Body Cavity Tail	weak twitchers	strong twitchers
gfpG	Gonad	lower nuclear & mitochondrial GFP	rare or absent nuclear & mitochondrial GFP
gfpG	Body Cavity Tail	lower nuclear & mitochondrial GFP	rare or absent nuclear & mitochondrial GFP
lacZL	Gonad	lower nuclear GFP	rare or absent nuclear GFP
lacZL	Body Cavity Tail	lower nuclear GFP	rare or absent nuclear GFP

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TABLE 3

<i>C. elegans</i> can respond in a gene-specific manner to environmental dsRNA.			
Bacterial Food	Movement	Germline Phenotype	GFP-Transgene Expression
BL21(DE3)	0% twitch	<1% female	<1% faint GFP
BL21(DE3)	0% twitch	43% female	<1% faint GFP
[fem-1 dsRNA]			
BL21(DE3)	85% twitch	<1% female	<1% faint GFP
[unc22 dsRNA]			
BL21(DE3)	0% twitch	<1% female	12% faint GFP
[gfp dsRNA]			

TABLE 4

Effects of bathing <i>C. elegans</i> in a solution containing dsRNA.	
dsRNA	Biological Effect
unc-22	Twitching (similar to partial loss of unc-22 function)
pos-1	Embryonic arrest (similar to loss of pos-1 function)
sqt-3	Shortened body (Dpy) (similar to partial loss of sqt-3 function)

In Table 2, gonad injections were carried out into the GFP reporter strain PD4251, which expresses both mitochondrial GFP and nuclear GFP-LacZ. This allowed simultaneous assay of inhibition with *gfp* (fainter overall fluorescence), *lacZ* (loss of nuclear fluorescence), and *unc-22* (twitching). Body cavity injections were carried out into the tail region, to minimize accidental injection of the gonad; equivalent results have been observed with injections into the anterior region of the body cavity. An equivalent set of injections was also performed into a single gonad arm. For all sites of injection, the entire progeny brood showed phenotypes identical to those described in Table 1. This included progeny produced from both injected and uninjected gonad arms. Injected animals were scored three days after recovery and showed somewhat less dramatic phenotypes than their progeny. This could in part be due to the persistence of products already present in the injected adult. After *ds-unc22B* injection, a fraction of the injected animals twitch weakly under standard growth conditions (10 out of 21 animals). Levamisole treatment led to twitching of 100% (21/21) of these animals. Similar effects were seen with *ds-unc22A*. Injections of *ds-gfpG* or *ds-lacZL* produced a dramatic decrease (but not elimination) of the corresponding GFP reporters. In some cases, isolated cells or parts of animals retained strong GFP activity. These were most frequently seen in the anterior region and around the vulva. Injections of *ds-gfpG* and *ds-lacZL* produced no twitching, while injections of *ds-unc22A* produced no change in GFP fluorescence pattern.

While the present invention has been described in connection with what is presently considered to be practical and preferred embodiments, it is understood that the invention is not to be limited or restricted to the disclosed embodiments but, on the contrary, is intended to cover various modifications and equivalent arrangements included within the spirit and scope of the appended claims.

Thus it is to be understood that variations in the described invention will be obvious to those skilled in the art without departing from the novel aspects of the present invention and such variations are intended to come within the scope of the present invention.

We claim:

1. A method to inhibit expression of a target gene in a cell in vitro comprising introduction of a ribonucleic acid (RNA) into the cell in an amount sufficient to inhibit expression of the target gene, wherein the RNA is a double-stranded molecule with a first strand consisting essentially of a ribonucleotide sequence which corresponds to a nucleotide sequence of the target gene and a second strand consisting essentially of a ribonucleotide sequence which is complementary to the nucleotide sequence of the target gene, wherein the first and the second ribonucleotide strands are separate complementary strands that hybridize to each other to form said double-stranded molecule, and the double-stranded molecule inhibits expression of the target gene.

2. The method of claim 1 in which the target gene is a cellular gene.

3. The method of claim 1 in which the target gene is an endogenous gene.

4. The method of claim 1 in which the target gene is a transgene.

5. The method of claim 1 in which the target gene is a viral gene.

6. The method of claim 1 in which the cell is from an animal.

7. The method of claim 1 in which the cell is from a plant.

8. The method of claim 6 in which the cell is from an invertebrate animal.

9. The method of claim 8 in which the cell is from a nematode.

10. The method of claim 1 in which the first ribonucleotide sequence comprises at least 25 bases which correspond to the target gene and the second ribonucleotide sequence comprises at least 25 bases which are complementary to the nucleotide sequence of the target gene.

11. The method of claim 1 in which the target gene expression is inhibited by at least 10%.

12. A method to inhibit expression of a target gene in an invertebrate organism comprising:

(a) providing an invertebrate organism containing a target cell, wherein the target cell contains the target gene and the target cell is susceptible to RNA interference, and the target gene is expressed in the target cell;

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(b) contacting said invertebrate organism with a ribonucleic acid (RNA), wherein the RNA is a double-stranded molecule with a first strand consisting essentially of a ribonucleotide sequence which corresponds to a nucleotide sequence of the target gene and a second strand consisting essentially of a ribonucleotide sequence which is complementary to the nucleotide sequence of the target gene, wherein the first and the second ribonucleotide sequences are separate complementary strands that hybridize to each other to form the double-stranded molecule; and

(c) introducing the RNA into the target cell, thereby inhibiting expression of the target gene.

13. The method of claim 12 in which the organism is a nematode.

14. The method of claim 13 in which a formulation comprised of the RNA is applied on or adjacent to a plant, and disease associated with nematode infection of the plant is thereby reduced.

15. The method of claim 12 in which said double-stranded ribonucleic acid structure is at least 25 bases in length and each of the ribonucleic acid strands is able to specifically

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hybridize to a deoxyribonucleic acid strand of the target gene over the at least 25 bases.

16. The method of claim 12 in which the expression of the target gene is inhibited by at least 10%.

17. The method of claim 12 in which the RNA is introduced within a body cavity of the organism and outside the target cell.

18. The method of claim 12 in which the RNA is introduced by extracellular injection into the organism.

19. The method of claim 12 in which the organism is contacted with the RNA by feeding the organism food containing the RNA.

20. The method of claim 19 in which the food comprises a genetically-engineered host transcribing the RNA.

21. The method of claim 12 in which at least one strand of the RNA is produced by transcription of an expression construct.

22. The method of claim 21 in which the organism is a nematode and the expression construct is contained in a plant, and disease associated with nematode infection of the plant is thereby reduced.

\* \* \* \* \*

UNITED STATES PATENT AND TRADEMARK OFFICE  
**CERTIFICATE OF CORRECTION**

PATENT NO. : 6,506,559 B1  
DATED : January 14, 2003  
INVENTOR(S) : Andrew Fire et al.

Page 1 of 1

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

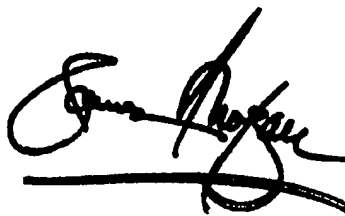
Title page.

Item [73] Assignee, should read:

-- [73] Assignee: **The Carnegie Institution of Washington**, Washington, DC (US);  
**The University of Massachusetts**, Boston, Massachusetts (US) --

Signed and Sealed this

Sixteenth Day of September, 2003

A handwritten signature in black ink, appearing to read "James E. Rogan", with a horizontal line drawn underneath it.

JAMES E. ROGAN  
*Director of the United States Patent and Trademark Office*

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## REQUEST FOR FILING PROVISIONAL PATENT APPLICATION

Under 35 USC 111(b)

(Not for DESIGN cases)

Box: PROVISIONAL  
APPLICATION

12/23/97

Commissioner of Patents  
Washington, D.C. 20231PROVISIONAL APPLICATION  
Under Rule 53(c)

Sir:

(Our Deposit Account No. 03-3975)

Herewith is a PROVISIONAL APPLICATION

Title: GENETIC INHIBITION BY DOUBLE-STRANDED RNA

Our Order No.	20263	243343
	C#	M#
Atty. Dkt.	PMS 243343	
	M#	Client Ref

including:

Date: December 23, 1997

1. Specification: 29 pages 2. ☐ Specification in non-English language 3. ☒ Drawings: 4 sheet(s)4. The invention ☒ was ☐ was not made by, or under a contract with, an agency of the U.S. Government.

If yes, Government agency/contact # = NIH/GM-37706, #GM-17164, #HD-33769 and #GM-07231

5. ☐ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.6. ☐ Attached: (No.) Verified Statement(s) establishing "small entity" status under Rules 9 & 27.

NOTE: Do NOT File IDS!

7. ☐ Attached:

8. This application is made by the following named inventor(s) (Double check instructions for accuracy.):

(1) Inventor	Andrew		Fire
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	City	State/Foreign Country	Country of Citizenship

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9. NOTE: FOR ADDITIONAL INVENTORS, check box ☒ and attach sheet (PAT102A3) with same information regarding additional inventors.

# REQUEST FOR FILING APPLICATION

Under 35USC 111(b)

(Continued : Additional Inventors)

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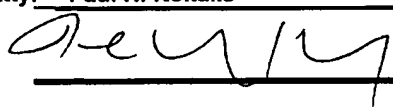
(14) Inventor			
	First	Middle Initial	Family Name
Residence			
	City	State/Foreign Country	Country of Citizenship



	Large/Small Entity		Fee Code
10. Filing Fee .....	\$150/\$75	+150	114/214
11. If "non-English" box 2 is X'd, add Rule 17(k) processing fee .....	\$130	+	139
12. If "assignment" box 5 is X'd, add recording fee. ....	\$40	+	581
13. TOTAL FEE ENCLOSED =	\$150		

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NOTE: File in duplicate with 2 post card receipts (PAT-103) & attachments

# APPLICATION UNDER UNITED STATES PATENT LAWS

Invention: GENETIC INHIBITION BY DOUBLE-STRANDED RNA

Inventor (s): Andrew FIRE, Si Q. XU, Mary K. MONTGOMERY, Stephen A. KOSTAS, Samuel E. DRIVER, and Craig C. MELLO

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This is a:

- ☒ Provisional Application
- ☐ Regular Utility Application
- ☐ Continuing Application
- ☐ PCT National Phase Application
- ☐ Design Application
- ☐ Reissue Application
- ☐ Plant Application
- ☐ Substitute Specification

Sub. Spec Filed \_\_\_\_\_  
in App. No. \_\_\_\_\_ / \_\_\_\_\_

## SPECIFICATION

# GENETIC INHIBITION BY DOUBLE-STRANDED RNA

## GOVERNMENT RIGHTS

This invention was made with U.S. government support under grant numbers GM-37706, GM-17164, HD-33769 and GM-07231 awarded by the National Institutes of Health. The U.S. government has certain rights in the invention.

## BACKGROUND OF THE INVENTION

### 1. Field of the Invention

The present invention relates to gene-specific inhibition of gene expression by double-stranded ribonucleic acid (dsRNA).

### 2. Description of the Related Art

Targeted inhibition of gene expression has been a long-felt need in biotechnology and genetic engineering. Although a major investment of effort has been made to achieve this goal, a more comprehensive solution to this problem was still needed.

Classical genetic techniques have been used to isolate mutant organisms with reduced expression of selected genes. Although valuable, such techniques require laborious mutagenesis and screening programs, are limited to organisms in which genetic manipulation is well established (e.g., the existence of selectable markers, the ability to control genetic segregation and sexual reproduction), and are limited to applications in which a large number of cells or organisms can be sacrificed to isolate the desired mutation. Even under these circumstances, classical genetic techniques can fail to produce mutations in specific target genes of interest, particularly when complex genetic pathways are involved. Many applications of molecular genetics require the ability to go beyond classical genetic screening techniques and efficiently produce a *directed* change in gene expression in a specified group of cells or organisms. Some such applications are knowledge-based projects in which it is of importance to understand what effects the loss of a specific gene product (or products) will have on the behavior of the cell or organism. Other applications are engineering based: for example, cases in which is important to produce a population of cells or organisms in which a specific gene product (or products) has been reduced or removed. A further class of applications is therapeutically based in which it would be valuable for a functioning organism (e.g., a human) to reduce or remove the amount of a specified gene product (or products). Another class of

applications provides a disease model in which a physiological function in a living organism is genetically manipulated to reduce or remove a specific gene product (or products) without making a permanent change in the organism's genome.

In the last few years, advances in nucleic acid chemistry and gene transfer have inspired new approaches to engineer specific interference with gene expression. These approaches are described below.

#### Use of Antisense Nucleic Acids to Engineer Interference

Antisense technology has been the most commonly described approach in protocols to achieve gene-specific interference. For antisense strategies, stoichiometric amounts of single-stranded nucleic acid complementary to the messenger RNA for the gene of interest are introduced into the cell. Some difficulties with antisense-based approaches relate to delivery, stability, and dose requirements. In general, cells do not have an uptake mechanism for single-stranded nucleic acids, hence uptake of unmodified single-stranded material is extremely inefficient. While waiting for uptake into cells, the single-stranded material is subject to degradation. Because antisense interference requires that the interfering material accumulate at a relatively high concentration (at or above the concentration of endogenous mRNA), the amount required to be delivered is a major constraint on efficacy. As a consequence, much of the effort in developing antisense technology has been focused on the production of modified nucleic acids that are both stable to nuclease digestion and able to diffuse readily into cells. The use of antisense interference for gene therapy or other whole-organism applications has been limited by the large amounts of oligonucleotide that need to be synthesized from non-natural analogs, the cost of such synthesis, and the difficulty even with high doses of maintaining a sufficiently concentrated and uniform pool of interfering material in each cell.

#### Triple-Helix Approaches to Engineer Interference

A second, proposed method for engineered interference is based on a triple helical nucleic acid structure. This approach relies on the rare ability of certain nucleic acid populations to adopt a triple-stranded structure. Under physiological conditions, nucleic acids are virtually all single- or double-stranded, and rarely if ever form triple-stranded

structures. It has been known for some time, however, that certain simple purine- or pyrimidine-rich sequences could form a triple-stranded molecule *in vitro* under extreme conditions of pH (i.e., in a test tube). Such structures are generally very transient under physiological conditions, so that simple delivery of unmodified nucleic acids designed to produce triple-strand structures does not yield interference. As with antisense, development of triple-strand technology for use *in vivo* has focused on the development of modified nucleic acids that would be more stable and more readily absorbed by cells *in vivo*. An additional goal in developing this technology has been to produce modified nucleic acids for which the formation of triple-stranded material proceeds effectively at physiological pH.

#### Co-Suppression Phenomena and Their Use in Genetic Engineering

A third approach to gene-specific interference is a set of operational procedures grouped under the name “co-suppression”. This approach was first described in plants and refers to the ability of transgenes to cause silencing of an unlinked but homologous gene. More recently, phenomena similar to co-suppression have been reported in two animals: *C. elegans* and *Drosophila*. Co-suppression was first observed by accident, with reports coming from groups using transgenes in attempts to achieve over-expression of a potentially useful locus. In some cases the over-expression was successful while, in many others, the result was opposite from that expected. In those cases, the transgenic plants actually showed less expression of the endogenous gene. Several mechanisms have so far been proposed for transgene-mediated co-suppression in plants; all of these mechanistic proposals remain hypothetical, and no definitive mechanistic description of the process has been presented. The models that have been proposed to explain co-suppression can be placed in two different categories. In one set of proposals, a direct physical interaction at the DNA- or chromatin-level between two different chromosomal sites has been hypothesized to occur; an as-yet-unidentified mechanism would then lead to *de novo* methylation and subsequent suppression of gene expression. Alternatively, some have postulated an RNA intermediate, synthesized at the transgene locus, which might then act to produce interference with the endogenous gene. The characteristics of the interfering

RNA, as well as the nature of the interference process, have not been determined.

Recently, a set of experiments with RNA viruses have provided some support for the possibility of RNA intermediates in the interference process. In these experiments, a replicating RNA virus is modified to include a segment from a gene of interest. This

5 modified virus is then tested for its ability to interfere with expression of the endogenous gene. Initial results with this technique, presented in the literature over the last few months, have been encouraging. However the properties of the viral RNA that are responsible for interference effects have not been determined and, in any case, would be limited to plants which are hosts of the plant virus.

#### 10 Distinction between the Present Invention and Antisense Approaches

The present invention differs from antisense-mediated interference in both approach and effectiveness. Antisense-mediated genetic interference methods have a major challenge: delivery to the cell interior of specific single-stranded nucleic acid molecules at a concentration that is equal to or greater than the concentration of

15 endogenous mRNA. Double-stranded RNA-mediated inhibition has advantages both in the stability of the material to be delivered and the concentration required for effective inhibition. Below, we disclose that in the model organism *C. elegans*, the present invention is at least 100-fold more effective than an equivalent antisense approach (i.e., dsRNA is at least 100-fold more effective than the injection of purified antisense RNA in

20 reducing gene expression). These comparisons also demonstrate that inhibition by double-stranded RNA must occur by a mechanism distinct from antisense interference.

#### Distinction between the Present Invention and Triple-Helix Approaches

The limited data on triple strand formation argues against the involvement of a stable triple-strand intermediate in the present invention. Triple-strand structures occur

25 rarely, if at all, under physiological conditions and are limited to very unusual base sequence with long runs of purines and pyrimidines. By contrast, dsRNA-mediated inhibition occurs efficiently under physiological conditions, and occurs with a wide variety of inhibitory and target nucleotide sequences. The present invention has inhibited expression of 18 different genes, providing phenocopies of null mutations in these genes

of known function. These distinctions make it unlikely that dsRNA-mediated inhibition in *C. elegans* is mediated by a triple-strand structure.

#### Distinction between Present Invention and Co-Suppression Approaches

5 The transgene-mediated genetic interference phenomenon called co-suppression may include a wide variety of different processes. From the viewpoint of application to other types of organisms, the co-suppression phenomenon in plants is difficult to extend. A confounding aspect in creating a general technique based on co-suppression is that some transgenes in plants lead to suppression of the endogenous locus and some do not. Results in *C. elegans* and *Drosophila* indicate that certain transgenes can cause  
10 interference (i.e., a quantitative decrease in the activity of the corresponding endogenous locus) but that most transgenes do not produce such an effect. The lack of a predictable effect in plants, nematodes, and insects greatly limits the usefulness of simply adding transgenes to the genome to interfere with gene expression. Viral-mediated co-suppression in plants appears to be quite effective, but has a number of drawbacks. First,  
15 it is not clear what aspects of the viral structure are critical for the observed interference. Extension to another system would require discovery of a virus in that system which would have these properties, and such a library of useful viral agents are not available for many organisms. Second, the use of a replicating virus within an organism to effect genetic changes (e.g., long- or short-term gene therapy) requires considerably more  
20 monitoring and oversight for deleterious effects than the use of a defined and non-replicating nucleic acid as in the present invention.

The present invention avoids the disadvantages of the previously-described methods for genetic interference. Several advantages of the present invention are discussed below, but numerous others will be apparent to one of ordinary skill in the  
25 biotechnology and genetic engineering arts.

#### SUMMARY OF THE INVENTION

A process is provided for inhibiting expression of a target gene in a cell. The process comprises introduction of RNA with partial or fully double-stranded character

into the cell or into the extracellular environment. Inhibition is specific in that a nucleotide sequence from a portion of the target gene is chosen to produce inhibitory RNA. The process may be practiced *ex vivo* or *in vivo*. We disclose that this process is (1) effective in producing inhibition of gene expression, (2) specific to the targeted gene, and (3) general in allowing inhibition of many different types of target gene.

The target gene may be a gene derived from the cell (i.e., a cellular gene), an endogenous gene (i.e., a cellular gene present in the genome), a transgene (i.e., a gene construct inserted at an ectopic site in the genome of the cell), or a viral gene which is present in the cell after infection thereof. Depending on the particular target gene and the dose of double stranded RNA material delivered, the procedure may provide partial or complete loss of function for the target gene. A reduction or loss of gene expression in at least 99% of targeted cells has been shown. Lower doses of injected material and longer times after administration of dsRNA may result in inhibition in a smaller fraction of cells (e.g., at least 10%, 20%, 50%, 75%, 90%, or 95% of targeted cells). Quantitation of gene expression in a cell may show similar amounts of inhibition at the level of target gene transcription, accumulation of target mRNA, or translation of target protein.

The RNA may comprise one or more strands of polymerized ribonucleotide; it may include modifications to either the phosphate-sugar backbone or the nucleoside. The double-stranded structure may be formed by a single self-complementary RNA strand or multiple complementary RNA strands. Fully duplex RNA lacks an unpaired region with single-stranded structure. RNA duplex formation may be initiated either inside or outside the cell. The RNA may be introduced in an amount which allows delivery of at least one copy per cell. Higher doses (e.g., at least 5, 10, 100, or 1000 copies per cell) of double-stranded material may yield more effective inhibition. Inhibition is sequence-specific in that nucleotide sequences corresponding to the duplex region of the RNA are targeted for genetic inhibition. RNA containing a nucleotide sequences identical to a portion of the target gene are preferred for inhibition. RNA sequences with insertions, deletions, and single point mutations relative to the target sequence have also been found to be effective for inhibition. Thus, sequence identity may optimized by alignment algorithms known in



the art (see Gribskov and Devereux, *Sequence Analysis Primer*, Stockton Press, 1991, and references cited therein) and calculating the percent difference between the nucleotide sequences. Greater than 90% sequence identity, or even 100% sequence identity, between the inhibitory RNA and target gene is preferred for the identical nucleotide sequences.

5 Alternatively, the duplex region of the RNA may be defined functionally as a nucleotide sequence that is capable of hybridizing with a portion of the target gene transcript (e.g., 400 mM NaCl, 40 mM PIPES pH 6.4, 1 mM EDTA, 50°C or 70°C for 12-16 hr). The length of the identical nucleotide sequences may be at least 25, 50, 100, 200 or 400 nucleotides.

10 The cell with the target gene may be derived from or contained in any organism (e.g., plant, animal, fungus or yeast). RNA may be synthesized either *in vivo* or *in vitro*. Endogenous RNA polymerase of the cell may mediate transcription *in vivo*, or cloned RNA polymerase can be used for transcription *in vivo* or *in vitro*. For transcription from a transgene *in vivo* or an expression vector, a regulatory region (e.g., promoter, enhancer, 15 silencer) is used to transcribe the RNA strand(s).

The RNA may be directly introduced into the cell (i.e., intracellularly); or introduced extracellularly into a cavity, interstitial space, or circulation of an organism. Physical methods of introducing nucleic acids are preferred such as injection into the cell or extracellular injection of a solution containing the RNA.

20 The advantages of the invention include: the ease of introducing double-stranded RNA into cells, the low concentration of RNA that is used, the stability of double-stranded RNA, and the effectiveness of the inhibition. The ability to use a low concentration of a naturally-occurring nucleic acid avoids several disadvantages of antisense interference. The present invention is not limited to *in vitro* use or to specific 25 sequence compositions, as are techniques based on triple-strand formation. And unlike antisense interference, triple-strand interference, and co-suppression, the present invention does not suffer from being limited to a particular set of target genes, a particular portion of the target gene's nucleotide sequence, or a particular transgene or viral delivery method. The noted disadvantages have been a serious obstacle to designing general

strategies according to the prior art for inhibiting gene expression of a target gene of interest.

Furthermore, genetic manipulation becomes possible in organisms that are not classical genetic models. Breeding and screening programs may be accelerated by the ability to rapidly assay the consequences of a specific, targeted gene disruption. Gene disruptions may be used to discover the function of the target gene, to produce disease models in which the target gene are involved in causing or preventing a pathological condition, and to produce organisms with improved economic properties.

#### BRIEF DESCRIPTION OF THE DRAWINGS

Figure 1 shows genes used to study RNA-mediated genetic inhibition in *C. elegans*. Intron-exon structure for genes used to test RNA-mediated inhibition are shown (exons: filled boxes; introns: open boxes; 5' and 3' untranslated regions: shaded; *unc-22*<sup>9</sup>, *unc-54*<sup>12</sup>, *fem-1*<sup>14</sup>, and *hlh-1*<sup>15</sup>). These genes were chosen based on: (1) a defined molecular structure, (2) classical genetic data showing the nature of the null phenotype. Each segment tested for RNAi is designated with the name of the gene followed by a single letter (e.g., *unc22C*). Segments derived from genomic DNA are shown above the gene, segments derived from cDNA are shown below the gene. The consequences of injecting double-stranded RNA segments for each of these genes is described in Table 1. dsRNA sequences from the coding region of each gene produced a phenotype resembling the null phenotype for that gene.

Figures 2 A-H show analysis of inhibitory RNA effects in individual cells. These experiments were carried out in a reporter strain (called PD4251) expressing two different reporter proteins: nuclear GFP-LacZ and mitochondrial GFP, both expressed in body muscle. The fluorescent nature of these reporter proteins allowed us to examine individual cells under the fluorescence microscope to determine the extent and generality of the observed inhibition of gene expression. The micrographs show progeny of injected animals. Panels A (young larva), B (adult), and C (adult body wall; high magnification) result from injection of a control RNA (ds-*unc22A*). These GFP patterns appear identical to the parent strain, with prominent fluorescence in nuclei (the nuclear localized GFP-

LacZ) and mitochondria (the mitochondrially targeted GFP). Panels D-F show progeny of animals injected with *ds-gfpG*. Observable GFP fluorescence is completely absent in over 95% of cells. Only a single active cell is seen in the larva in panel D, while the adult animal in panel E shows staining in none of the striated body wall muscles. Inhibition is not effective in all tissues: the entire vulval musculature expresses active GFP in the adult animal shown in panel E. Panel F shows two rare GFP positive cells in an adult. Both cells express both nuclear-targeted GFP-LacZ and mitochondrial GFP. Panels G-I demonstrate specificity: animals are injected with *ds-lacZL* RNA, which should affect the nuclear but not the mitochondrial reporter construct. In the animals derived from this injection, mitochondrial-targeted GFP appears unaffected while the nuclear-targeted GFP-LacZ is absent from almost all cells (e.g., larva in panel G). Panel H shows a typical adult, with nuclear GFP-LacZ lacking in almost all body-wall muscles but retained in vulval muscles. Scale bars are 20  $\mu$ m.

Figures 3 A-D show effects of double-stranded RNA corresponding to *mex-3* on levels of the endogenous mRNA. Micrographs show *in situ* hybridization to embryos. The 1262 nt *mex-3* cDNA clone<sup>20</sup> was divided into two segments, *mex-3A* and *mex-3B* with a short (325 nt) overlap. Similar results were obtained in experiments with no overlap between inhibiting and probe segments. *mex-3B* antisense or dsRNA was injected into the gonads of adult animals, which were fed for 24 hours before fixation and *in situ* hybridization (see reference 5). The *mex-3B* dsRNA produced 100% embryonic arrest, while >90% of embryos from the antisense injections hatched. Antisense probes corresponding to *mex-3A* were used to assay distribution of the endogenous *mex-3* mRNA (dark stain). Four-cell stage embryos are shown; similar results were observed from the 1 to 8 cell stage and in the germline of injected adults. Panel A: Negative control showing lack of staining in the absence of hybridization probe. Panel B: Embryo from uninjected parent (normal pattern of endogenous *mex-3* RNA<sup>20</sup>). Panel C: Embryo from a parent injected with purified *mex-3B* antisense RNA. These embryos and the parent animals retain the *mex-3* mRNA, although levels may have been somewhat less than wild type. Panel D: Embryo from a parent injected with dsRNA corresponding to

*mex-3B*; no *mex-3* RNA was detected. The scale is such that each embryo is approximately 50  $\mu$ m in length.

Figure 4 shows inhibitory activity of *unc-22A* as a function of structure and concentration. Purified antisense and sense RNA from *unc22A* were injected individually or as an annealed mixture. "Control" was an unrelated dsRNA (*gfpG*). Injected animals were transferred to fresh culture plates 6, 15, 27, 41 and 56 hours after injection. Progeny grown to adulthood were scored for movement in their growth environment, then examined in 0.5 mM levamisole. The main graph indicates fractions in each behavioral class. Embryos in the uterus and already covered with an eggshell at the time of injection were not affected and, thus, are not included in the graph. Bottom-left: diagram showing genetically derived relationship between *unc-22* gene dosage and behavior based on analyses of *unc-22* heterozygotes and polyploids<sup>8,3</sup>.

#### DESCRIPTION OF PREFERRED EMBODIMENTS

The present invention provides a method of sequence-specific inhibition of gene expression with double-stranded RNA.

Inhibition of gene expression refers to the absence (or observable decrease) in the level of protein and/or mRNA product from a target gene. Sequence specificity refers to the ability to inhibit the target gene without manifest effects on other genes of a cell. The consequences of inhibition can be confirmed by examination of the outward properties of the cell or organism (as presented below in the examples) or by biochemical techniques such as RNA solution hybridization, Northern hybridization, reverse transcription, antibody binding, enzyme linked immunosorbent assay, Western blotting, radioimmunoassay, and fluorescence activated cell analysis. For RNA-mediated inhibition in a cell line or whole organism, gene expression is conveniently assayed by use of a reporter or drug resistance gene whose protein product is easily assayed. Such reporter genes include alkaline phosphatase, beta galactosidase (LacZ), chloramphenicol acetyltransferase, luciferase, green fluorescent protein (GFP), beta glucuronidase, or derivatives thereof. Depending on the assay, quantitation of the amount of gene

expression allows one to determine a degree of inhibition which is greater than 10%, 33%, 50%, 90%, 95% or 99%.

The cell with the target gene may be derived from or contained in any organism. The organism may a plant, animal, fungus or yeast. The plant may be a monocot, dicot or gymnosperm; the animal may be a vertebrate or invertebrate. Plants include corn, wheat, tobacco, arabidopsis, soybean, cauliflower, potato, pine, rubber, and oak. Examples of vertebrate animals include fish, mammal, cow, goat, pig, rodent, hamster, mouse, rat, primate, and human; invertebrate animals include nematodes, other worms, *Drosophila* and other insects.

That cell may be from the germ line or somatic, totipotent or pluripotent, dividing or non-dividing, parenchyma or epithelium, immortalized or transformed, or the like. The cell may be a stem cell or a differentiated cell. Cell types that are differentiated include adipocytes, fibroblasts, myocytes, cardiomyocytes, endothelium, neurons, glia, blood cells, megakaryocytes, lymphocytes, macrophages, neutrophils, eosinophils, basophils, mast cells, leukocytes, granulocytes, keratinocytes, chondrocytes, osteoblasts, osteoclasts, hepatocytes, and cells of the endocrine or exocrine glands.

RNA may be chemically synthesized by manual or automated reactions. The RNA may be synthesized by RNA polymerase of the cell or a bacteriophage RNA polymerase (e.g., T3, T7, SP6). The use and construction of an expression vector are known in the art (see Goeddel, *Gene Expression Technology*, Academic Press, 1990; Kriegler, *Gene Transfer and Expression*, Stockton Press, 1990; Murray, *Gene Transfer and Expression Protocols*, Humana Press, 1991; WO 97/32016; and references cited therein). If synthesized chemically or by *in vitro* enzymatic synthesis, the RNA may be purified prior to introduction into the cell. For example, RNA can be purified from a mixture by extraction with a solvent or resin, precipitation, electrophoresis, chromatography, or a combination thereof. Preferably, the RNA is used with no or a minimum of purification to avoid losses due to sample processing. The RNA may be dried for storage or dissolved in an aqueous solution. The solution may contain buffers or salts to promote annealing.

The RNA may be introduced directly into the cell (i.e., intracellularly) or extracellularly. Examples of extracellular spaces into which the RNA may be introduced include a cavity, interstitial space, or the circulation of an organism. We disclose herein that in *C. elegans*, double-stranded RNA introduced outside the cell inhibits gene  
5 expression. Vascular or extravascular circulation, the blood or lymph system, the phloem, and cerebrospinal fluid are sites where the RNA may be introduced.

Physical methods of introducing nucleic acids are preferred such as for example, injection of a solution containing the RNA, bombardment by particles covered by the RNA, soaking the cell or organism in a solution of the RNA, or electroporation of cell  
10 membranes with the RNA. A viral vector packaged into a viral particle would accomplish both efficient introduction of an expression vector into the cell and transcription of RNA encoded by the expression vector.

The present invention may be used to introduce RNA into a cancerous cell or tumor and thereby inhibit gene expression of a gene required for maintenance of the  
15 phenotype. To prevent a disease or other pathology, a target gene may be selected which is required for initiation of the disease or pathology.

The present invention could be used for treatment or development of treatments for cancers of any type, including solid tumors and leukemias, including: apudoma, choristoma, branchioma, malignant carcinoid syndrome, carcinoid heart disease,  
20 carcinoma (e.g., Walker, basal cell, basosquamous, Brown-Pearce, ductal, Ehrlich tumor, in situ, Krebs 2, Merkel cell, mucinous, non-small cell lung, oat cell, papillary, scirrhous, bronchiolar, bronchogenic, squamous cell, and transitional cell), histiocytic disorders, leukemia (e.g., B cell, mixed cell, null cell, T cell, T-cell chronic, HTLV-II-associated, lymphocytic acute, lymphocytic chronic, mast cell, and myeloid), histiocytosis malignant,  
25 Hodgkin disease, immunoproliferative small, non-Hodgkin lymphoma, plasmacytoma, reticuloendotheliosis, melanoma, chondroblastoma, chondroma, chondrosarcoma, fibroma, fibrosarcoma, giant cell tumors, histiocytoma, lipoma, liposarcoma, mesothelioma, myxoma, myxosarcoma, osteoma, osteosarcoma, Ewing sarcoma, synovioma, adenofibroma, adenolymphoma, carcinosarcoma, chordoma, cranio-

pharyngioma, dysgerminoma, hamartoma, mesenchymoma, mesonephroma,  
 myosarcoma, ameloblastoma, cementoma, odontoma, teratoma, thymoma, trophoblastic  
 tumor, adenocarcinoma, adenoma, cholangioma, cholesteatoma, cylindroma,  
 cystadenocarcinoma, cystadenoma, granulosa cell tumor, gynandroblastoma, hepatoma,  
 5 hidradenoma, islet cell tumor, Leydig cell tumor, papilloma, Sertoli cell tumor, theca cell  
 tumor, leiomyoma, leiomyosarcoma, myoblastoma, myoma, myosarcoma, rhabdomyoma,  
 rhabdomyosarcoma, ependymoma, ganglioneuroma, glioma, medulloblastoma,  
 meningioma, neurilemmoma, neuroblastoma, neuroepithelioma, neurofibroma, neuroma,  
 paraganglioma, paraganglioma nonchromaffin, angiokeratoma, angiolymphoid  
 10 hyperplasia with eosinophilia, angioma sclerosing, angiomatosis, glomangioma,  
 hemangioendothelioma, hemangioma, hemangiopericytoma, hemangiosarcoma,  
 lymphangioma, lymphangiomyoma, lymphangiosarcoma, pinealoma, carcinosarcoma,  
 chondrosarcoma, cystosarcoma phyllodes, fibrosarcoma, hemangiosarcoma,  
 leiomyosarcoma, leukosarcoma, liposarcoma, lymphangiosarcoma, myosarcoma,  
 15 myxosarcoma, ovarian carcinoma, rhabdomyosarcoma, sarcoma (e.g., Ewing,  
 experimental, Kaposi, and mast cell), neoplasms (e.g., bone, breast, digestive system,  
 colorectal, liver, pancreatic, pituitary, testicular, orbital, head and neck, central nervous  
 system, acoustic, pelvic, respiratory tract, and urogenital), neurofibromatosis, and cervical  
 dysplasia, and for treatment of other conditions in which cells have become immortalized.

20 The operation of the present invention is shown in the model organism  
*Caenorhabditis elegans*. Introduction of RNA into cells can be used in certain biological  
 systems to interfere with function of an endogenous gene<sup>1,2</sup>. Many such effects are  
 believed to result from a simple antisense mechanism dependent on hybridization  
 between injected single-stranded RNA and endogenous transcripts. In other cases, a more  
 25 complex mechanism has been suggested. For instance, an RNA interference (RNAi)  
 phenomenon in the nematode *Caenorhabditis elegans* has been used in a variety of  
 studies to manipulate gene expression<sup>3,4</sup>.

Despite the usefulness of RNAi in *C. elegans*, many features have been difficult to  
 explain. In particular, the lack of a clear understanding of the critical requirements for

interfering RNA led to a sporadic record of failure and partial success in attempts to extend RNAi beyond the earliest stages following injection. A statement frequently made in the literature was that sense and antisense RNA preparations are each sufficient to cause interference<sup>3,4</sup>. The only precedent for such a situation was in plants where the process of co-suppression had a similar history of usefulness in certain cases, failure in others, and no ability to design interference protocols with a high chance of success. Working with *C. elegans*, we discovered an RNA structure that would give effective and uniform genetic inhibition. The prior art did not teach or suggest that RNA structure was a critical feature for inhibition of gene expression. Indeed the ability of sense and antisense preparations to produce interference<sup>3,4</sup> had been taken as an indication that RNA structure was not a critical factor. Instead, the extensive plant literature and much of the ongoing research in *C. elegans* was focused on the possibility that detailed features of the target gene sequence or its chromosomal locale was the critical feature for interfering with gene expression.

We carefully purified sense or antisense RNA for *unc-22* (see Figure 4) and tested each for interference. It was found that the purified sense and antisense RNAs had only marginal interfering activity. This was unexpected because many techniques in molecular biology are based on the assumption that RNA produced with specific *in vitro* promoters (e.g., T3 or T7 RNA polymerase), or with characterized promoters *in vivo*, is produced predominantly from a single strand. We carried out the purification below to investigate whether a small fraction of the RNA had an unusual structure and that this subpopulation was responsible for the observed genetic inhibition. The unexpected observation that purification greatly diminished the effectiveness of either sense or antisense RNA preparations led to our discovery that RNA structure was responsible for inhibitory activity. We disclose that the non-purified RNA populations that were effective in inhibition assays herein include some molecules with double-stranded character. To rigorously test whether double-stranded character might contribute to genetic inhibition, we carried out additional purification of single-stranded RNAs and compared inhibitory activities of individual strands with that of the double-stranded hybrid.



The following examples are meant to be illustrative of the present invention; however, the practice of the invention is not limited or restricted in any way by them.

## METHODS

### RNA Synthesis and Microinjection

5 RNA was synthesized from phagemid clones with T3 and T7 RNA polymerase<sup>6</sup>, followed by template removal with two sequential DNase treatments. In cases where sense, antisense, and mixed RNA populations were to be compared, RNAs were further purified by electrophoresis on low-gelling-temperature agarose. Gel-purified products appeared to lack many of the minor bands seen in the original "sense" and "antisense" 10 preparations. Nonetheless, RNA species accounting for less than 10% of purified RNA preparations would not have been observed. Without gel purification, the "sense" and "antisense" preparations produced significant interference. This interference activity was reduced or eliminated upon gel purification. By contrast, sense+antisense mixtures of gel purified and non-gel-purified RNA preparations produced identical effects.

15 Sense/antisense annealing was carried out in injection buffer<sup>27</sup> at 37°C for 10-30 minutes. Formation of predominantly double stranded material was confirmed by testing migration on a standard (non-denaturing) agarose gel: for each RNA pair, gel mobility was shifted to that expected for double-stranded RNA of the appropriate length. Co-incubation of the two strands in a low-salt buffer (5 mM Tris-HCl pH 7.5, 0.5 mM 20 EDTA) was insufficient for visible formation of double-stranded RNA *in vitro*. Non-annealed sense+antisense RNAs for *unc22B* and *gfpG* were tested for inhibitory RNA and found to be much more active than the individual single strands, but 2-4 fold less active than equivalent pre-annealed preparations.

After pre-annealing of the single strands for *unc22A*, the single electrophoretic 25 species corresponding in size to that expected for dsRNA was purified using two rounds of gel electrophoresis. This material retained a high degree of inhibitory activity.

Except where noted, injection mixes were constructed so animals would receive an average of  $0.5 \times 10^6$  to  $1.0 \times 10^6$  molecules of RNA. For comparisons of sense, antisense, and dsRNA activities, injections were compared with equal masses of RNA

(i.e., dsRNA at half the molar concentration of the single strands). Numbers of molecules injected per adult are given as rough approximations based on concentration of RNA in the injected material (estimated from ethidium bromide staining) and injection volume (estimated from visible displacement at the site of injection). A variability of several-fold in injection volume between individual animals is possible; however, such variability would not affect any of the conclusions drawn herein.

#### Analysis of Phenotypes

Inhibition of endogenous genes was generally assayed in a wild type genetic background (N2). Features analyzed included movement, feeding, hatching, body shape, sexual identity, and fertility. Inhibition with *gfp*<sup>27</sup> and *lacZ* activity was assessed using strain PD4251. This strain is a stable transgenic strain containing an integrated array (ccIs4251) made up of three plasmids: pSAK4 (*myo-3* promoter driving mitochondrially targeted GFP), pSAK2 (*myo-3* promoter driving a nuclear targeted GFP-LacZ fusion), and a *dpy-20* subclone<sup>26</sup> as a selectable marker. This strain produces GFP in all body muscles, with a combination of mitochondrial and nuclear localization. The two distinct compartments are easily distinguished in these cells, allowing a facile distinction between cells expressing both, either, or neither of the original GFP constructs.

Gonadal injection was performed by inserting the microinjection needle into the gonadal syncytium of adults and expelling 20-100 pl of solution (see reference 25). Body cavity injections followed a similar procedure, with needle insertion into regions of the head and tail beyond the positions of the two gonad arms. Injection into the cytoplasm of intestinal cells was another effective means of RNA delivery, and may be the least disruptive to the animal. After recovery and transfer to standard solid media, injected animals were transferred to fresh culture plates at 16 hour intervals. This yields a series of semi-synchronous cohorts in which it was straightforward to identify phenotypic differences. A characteristic temporal pattern of phenotypic severity is observed among progeny. First, there is a short "clearance" interval in which unaffected progeny are produced. These include impermeable fertilized eggs present at the time of injection. After the clearance period, individuals are produced which show the inhibitory phenotype.

After injected animals have produced eggs for several days, gonads can in some cases "revert" to produce incompletely affected or phenotypically normal progeny.

The *unc-22* gene was chosen for initial comparisons of activity as a result of previous genetic analysis that yields a semi-quantitative comparison between *unc-22* gene activity and the movement phenotypes of animals<sup>3,8</sup>: decreases in activity produce an increasingly severe twitching phenotype, while complete loss of function results in the additional appearance of muscle structural defects and impaired motility. *unc-22* encodes an abundant but non-essential myofilament protein<sup>7-9</sup>. *unc-22* mRNA is present at several thousand copies per striated muscle cell<sup>3</sup>.

Purified antisense and sense RNAs covering a 742 nt segment of *unc-22* had only marginal interference activity, requiring a very high dose of injected RNA for any observable effect (Table 1). By contrast, a sense-antisense mixture produced a highly effective inhibition of endogenous gene activity (Figure 4). The mixture was at least two orders of magnitude more effective than either single strand in inhibiting gene expression. The lowest dose of the sense-antisense mixture tested, approximately 60,000 molecules of each strand per adult, led to twitching phenotypes in an average of 100 progeny. *unc-22* expression begins in embryos with approximately 500 cells. At this point, the original injected material would be diluted to at most a few molecules per cell.

The potent inhibitory activity of the sense-antisense mixture could reflect formation of double-stranded RNA (dsRNA), or conceivably some alternate synergy between the strands. Electrophoretic analysis indicated that the injected material was predominantly double stranded. The dsRNA was gel purified from the annealed mixture and found to retain potent inhibitory activity. Although annealing prior to injection was compatible with inhibition, it was not necessary. Mixing of sense and antisense RNAs in low salt (under conditions of minimal dsRNA formation), or rapid sequential injection of sense and antisense strands, were sufficient to allow complete inhibition. A long interval (>1 hour) between sequential injections of sense and antisense RNA resulted in a dramatic decrease in inhibitory activity. This suggests that injected single strands may be degraded or otherwise rendered inaccessible in the absence of the complementary strand.

An issue of specificity arises when considering known cellular responses to dsRNA. Some organisms have a dsRNA-dependent protein kinase that activates a panic response mechanism<sup>10</sup>. Conceivably, our sense-antisense synergy could reflect a non-specific potentiation of antisense effects by such a panic mechanism. We found this not to be the case: co-injection of dsRNA segments unrelated to *unc-22* did not potentiate the ability of *unc-22* single strands to mediate inhibition. We also investigated whether double-stranded structure could potentiate interference activity when placed in *cis* to a single-stranded segment. No such potentiation was seen; unrelated double-stranded sequences located 5' or 3' of a single-stranded *unc-22* segment did not stimulate interference. Thus we have only observed potentiation of interference when dsRNA sequences exist within the region of homology with the target gene.

The phenotype produced by *unc-22* dsRNA was specific. Progeny of injected animals exhibited behavior indistinguishable from characteristic *unc-22* loss of function mutants. We assessed target-specificity of dsRNA effects using three additional genes with well characterized phenotypes (Figure 1 and Table 1). *unc-54* encodes a body wall muscle myosin heavy chain isoform required for full muscle contraction<sup>7,11,12</sup>, *fem-1* encodes an ankyrin-repeat containing protein required in hermaphrodites for sperm production<sup>13,14</sup>, and *hlh-1* encodes a *C. elegans* homolog of the myoD family required for proper body shape and motility<sup>15,16</sup>. For each of these genes, injection of dsRNA produced progeny broods exhibiting the known null mutant phenotype, while the purified single strands produced no significant reduction in gene expression. With one exception, all of the phenotypic consequences of dsRNA injection were those expected from inhibition of the corresponding gene. The exception (segment *unc54C*, which led to an embryonic and larval arrest phenotype not seen with *unc-54* null mutants) was illustrative. This segment covers the highly conserved myosin motor domain, and might have been expected to interfere with activity of other highly related myosin heavy chain genes<sup>17</sup>. This interpretation would support uses of the present invention in which nucleotide sequence comparison of dsRNA and target gene show less than 100% identity. The *unc54C* segment has been unique in our overall experience to date: effects of 18 other

dsRNA segments have all been limited to those expected from characterized null mutants.

The strong phenotypes seen following dsRNA injection are indicative of inhibitory effects occurring in a high fraction of cells. The *unc-54* and *hlh-1* muscle phenotypes, in particular, are known to result from a large number of defective muscle cells<sup>11,16</sup>. To examine inhibition effects of dsRNA on a cellular level, we used a transgenic line expressing two different GFP-derived fluorescent reporter proteins in body muscle. Injection of dsRNA directed to *gfp* produced dramatic decreases in the fraction of fluorescent cells (Figure 2). Both reporter proteins were absent from the negative cells, while the few positive cells generally expressed both GFP forms.

The pattern of mosaicism observed with *gfp* inhibition was not random. At low doses of dsRNA, we saw frequent inhibition in the embryonically-derived muscle cells present when the animal hatched. The inhibitory effect in these differentiated cells persisted through larval growth: these cells produced little or no additional GFP as the affected animals grew. The 14 postembryonically-derived striated muscles are born during early larval stages and were more resistant to inhibition. These cells have come through additional divisions (13-14 versus 8-9 for embryonic muscles<sup>18,19</sup>). At high concentrations of *gfp* dsRNA, we saw inhibition in virtually all striated bodywall muscles, with occasional single escaping cells including cells born in embryonic or postembryonic stages. The nonstriated vulval muscles, born during late larval development, appeared resistant to genetic inhibition at all tested concentrations of injected RNA. The latter result is important for evaluating the use of the present invention in other systems. First, it indicates that failure in one set of cells from an organism does not necessarily indicate complete non-applicability of the invention to that organism. Second, it is important to realize that not all tissues in the organism need to be affected for the invention to be used in an organism. This may serve as an advantage in some situations.

A few observations serve to clarify the nature of possible targets and mechanisms for RNA-mediated genetic inhibition in *C. elegans*:

First, dsRNA segments corresponding to a variety of intron and promoter sequences did not produce detectable inhibition (Table 1). Although consistent with

possible inhibition at a post-transcriptional level, these experiments do not rule out inhibition at the level of the gene.

Second, we found that dsRNA injection produces a dramatic decrease in the level of the endogenous mRNA transcript (Figure 3). Here, we targeted a *mex-3* transcript that is abundant in the gonad and early embryos<sup>20</sup>, where straightforward *in situ* hybridization can be performed<sup>5</sup>. No endogenous *mex-3* mRNA was observed in animals injected with a dsRNA segment derived from *mex-3*. In contrast, injection of the purified *mex-3* antisense RNA resulted in animals that retained substantial endogenous mRNA levels (Figure 3D).

Third, dsRNA-mediated inhibition showed a surprising ability to cross cellular boundaries. Injection of dsRNA for *unc-22*, *gfp*, or *lacZ* into the body cavity of the head or tail produced a specific and robust inhibition of gene expression in the progeny brood (Table 2). Inhibition was seen in the progeny of both gonad arms, ruling out a transient "nicking" of the gonad in these injections. dsRNA injected into body cavity or gonad of young adults also produced gene-specific inhibition in somatic tissues of the injected animal (Table 2).

The effects described herein significantly augment available tools for studying gene function in *C. elegans* and other organisms. In particular, functional analysis should now be possible for a large number of interesting coding regions<sup>21</sup> for which no specific function have been defined. Several of these observations show the properties of dsRNA that may affect the design of processes for inhibition of gene expression. For example, we observed one case in which a nucleotide sequence shared between several myosin genes may inhibit gene expression of several members of a related gene family. This would not be a consideration for a target gene present in a single copy in the genome.

All books, articles and patents cited in this specification are incorporated herein by reference in their entirety.

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Table 1. Effects of sense, antisense, and mixed RNAs on progeny of injected animals.

	Gene and Segment		Size	Injected RNA	F1 Phenotype
5	<b><i>unc-22</i></b>			<b><i>unc-22</i> null mutants: strong twitchers<sup>7,8</sup></b>	
	<i>unc22A<sup>a</sup></i>	exon 21-22	742	sense	wild type
				antisense	wild type
				sense+antisense	strong twitchers (100%)
	<i>unc22B</i>	exon 27	1033	sense	wild type
10				antisense	wild type
				sense+antisense	strong twitchers (100%)
	<i>unc22C</i>	exon 21-22 <sup>b</sup>	785	sense+antisense	strong twitchers (100%)
	<b><i>fem-1</i></b>			<b><i>fem-1</i> null mutants: female (no sperm)<sup>13</sup></b>	
15	<i>fem1A</i>	exon 10 <sup>c</sup>	531	sense	hermaphrodite (98%)
				antisense	hermaphrodite (>98%)
				sense+antisense	female (72%)
	<i>fem1B</i>	intron 8	556	sense+antisense	hermaphrodite (>98%)
20	<b><i>unc-54</i></b>			<b><i>unc-54</i> null mutants: paralyzed<sup>7,11</sup></b>	
	<i>unc54A</i>	exon 6	576	sense	wild type (100%)
				antisense	wild type (100%)
				sense+antisense	paralyzed (100%) <sup>d</sup>
	<i>unc54B</i>	exon 6	651	sense	wild type (100%)
25				antisense	wild type (100%)
				sense+antisense	paralyzed (100%) <sup>d</sup>
	<i>unc54C</i>	exon 1-5	1015	sense+antisense	arrested embryos and larvae (100%)
	<i>unc54D</i>	promoter	567	sense+antisense	wild type (100%)
	<i>unc54E</i>	intron 1	369	sense+antisense	wild type (100%)
30	<i>unc54F</i>	intron 3	386	sense+antisense	wild type (100%)



Table 1 (continued).

	Gene and Segment		Size	Injected RNA	F1 Phenotype
5	<b><i>hlh-1</i></b>			<b><i>hlh-1</i> null mutants: lumpy-dumpy larvae<sup>16</sup></b>	
	<i>hlh1A</i>	exons 1-6	1033	sense	wild type (<2% lpy-dpy)
				antisense	wild type (<2% lpy-dpy)
				sense+antisense	lpy-dpy larvae (>90%) <sup>e</sup>
	<i>hlh1B</i>	exons 1-2	438	sense+antisense	lpy-dpy larvae (>80%) <sup>e</sup>
10	<i>hlh1C</i>	exons 4-6	299	sense+antisense	lpy-dpy larvae (>80%) <sup>e</sup>
	<i>hlh1D</i>	intron 1	697	sense+antisense	wild type (<2% lpy-dpy)
<hr/>					
	<b><i>myo-3</i> driven GFP transgenes<sup>f</sup></b>				
	<b><i>myo-3::NLS::gfp::lacZ</i></b>			<b>makes nuclear GFP in body muscle</b>	
15	<i>gfpG</i>	exons 2-5	730	sense	nuclear GFP-LacZ pattern of parent strain
				antisense	nuclear GFP-LacZ pattern of parent strain
				sense+antisense	nuclear GFP-LacZ absent in 98% of cells
	<i>lacZL</i>	exon 12-14	830	sense+antisense	nuclear GFP-LacZ absent in >95% of cells
20	<b><i>myo-3::MtLS::gfp</i></b>			<b>makes mitochondrial GFP in body muscle</b>	
	<i>gfpG</i>	exons 2-5	730	sense	mitochondrial GFP pattern of parent strain
				antisense	mitochondrial GFP pattern of parent strain
				sense+antisense	mitochondrial GFP absent in 98% of cells
	<i>lacZL</i>	exon 12-14	830	sense+antisense	mitochondrial GFP pattern of parent strain

#### Legend of Table 1

Each RNA was injected into 6-10 adult hermaphrodites (0.5-1x10<sup>6</sup> molecules into each gonad arm). After 4-6 hours (to clear pre-fertilized eggs from the uterus) injected animals were transferred and eggs collected for 20-22 hours. Progeny phenotypes were scored upon hatching and subsequently at 12-24 hr intervals.

a: To obtain a semi-quantitative assesment of the relationship between RNA dose and phenotypic response, we injected each *unc22A* RNA preparation at a series of different concentrations. At the highest dose tested ( $3.6 \times 10^6$  molecules per gonad), the individual sense and antisense *unc22A* preparations produced some visible twitching (1% and 11% of progeny respectively). Comparable doses of ds-*unc22A* RNA produced visible twitching in all progeny, while a 120-fold lower dose of ds-*unc22A* RNA produced visible twitching in 30% of progeny.

b: *unc22C* also carries the intervening intron (43 nt).

c: *fem1A* also carries a portion (131 nt) of intron 10.

d: Animals in the first affected broods (laid at 4-24 hours after injection) showed movement defects indistinguishable from those of null mutants in *unc-54*. A variable fraction of these animals (25-75%) failed to lay eggs (another phenotype of *unc-54* null mutants), while the remainder of the paralyzed animals were egg-laying positive. This may indicate partial inhibition of *unc-54* activity in vulval muscles. Animals from later broods frequently exhibit a distinct partial loss-of-function phenotype, with contractility in a subset of body wall muscles.

e: Phenotypes of *hlh-1* inhibitory RNA include arrested embryos and partially elongated L1 larvae (the *hlh-1* null phenotype) seen in virtually all progeny from injection of ds-*hlh1A* and about half of the affected animals from ds-*hlh1B* and ds-*hlh1C*) and a set of less severe defects (seen with the remainder of the animals from ds-*hlh1B* and ds-*hlh1C*). The less severe phenotypes are characteristic of partial loss of function for *hlh-1*.

f: The host for these injections, PD4251, expresses both mitochondrial GFP and nuclear GFP-LacZ. This allows simultaneous assay for inhibition of *gfp* (loss of all fluorescence) and *lacZ* (loss of nuclear fluorescence). The table describes scoring of animals as L1 larvae. ds-*gfpG* caused a loss of GFP in all but 0-3 of the 85 body muscles in these larvae. As these animals mature to adults, GFP activity was seen in 0-5 additional bodywall muscles and in the eight vulval muscles.

Table 2. Effect of injection point on genetic inhibition in injected animals and their progeny.

dsRNA	Site of injection	Injected animal phenotype	Progeny Phenotype
None	gonad or body cavity	no twitching	no twitching
None	gonad or body cavity	strong nuclear & mitochondrial GFP	strong nuclear & mitochondrial GFP
<i>unc22B</i>	Gonad	weak twitchers	strong twitchers
<i>unc22B</i>	Body Cavity Head	weak twitchers	strong twitchers
<i>unc22B</i>	Body Cavity Tail	weak twitchers	strong twitchers
<i>gfpG</i>	Gonad	lower nuclear & mitochondrial GFP	rare or absent nuclear & mitochondrial GFP
<i>gfpG</i>	Body Cavity Tail	lower nuclear & mitochondrial GFP	rare or absent nuclear & mitochondrial GFP
<i>lacZL</i>	Gonad	lower nuclear GFP	rare or absent nuclear GFP
<i>lacZL</i>	Body Cavity Tail	lower nuclear GFP	rare or absent nuclear GFP

Gonad injections were carried out into the GFP reporter strain PD4251, which expresses both mitochondrial GFP and nuclear GFP-LacZ. This allowed simultaneous assay of inhibition with *gfp* (fainter overall fluorescence), *lacZ* (loss of nuclear fluorescence), and *unc-22* (twitching). Body cavity injections were carried out into the tail region, to minimize accidental injection of the gonad; equivalent results have been observed with injections into the anterior region of the body cavity. An equivalent set of injections was also performed into a single gonad arm. For all sites of injection, the entire progeny brood showed phenotypes identical to those described in Table 1. This included progeny produced from both injected and uninjected gonad arms. Injected animals were scored three days after recovery and showed somewhat less dramatic phenotypes than their progeny. This could in part be due to the persistence of products already present in the injected adult. After *ds-unc22B* injection, a fraction of the injected animals twitch weakly under standard growth conditions (10 out of 21 animals). Levamisole treatment led to twitching of 100% (21/21) of these animals. Similar effects were seen with *ds-unc22A*. Injections of *ds-gfpG* or *ds-lacZL* produced a dramatic decrease (but not elimination) of the corresponding GFP reporters. In some cases, isolated cells or parts of animals retained strong GFP activity. These were most frequently seen in the anterior region and around the vulva. Injections of *ds-gfpG* and *ds-lacZL* produced no twitching, while injections of *ds-unc22A* produced no change in GFP fluorescence pattern.

While the present invention has been described in connection with what is presently considered to be practical and preferred embodiments, it is understood that the present invention is not to be limited or restricted to the disclosed embodiments but, on the contrary, is intended to cover various modifications and equivalent arrangements included within the spirit and scope of the appended claims.

Thus it is to be understood that variations in the described invention will be obvious to those skilled in the art without departing from the novel aspects of the present invention and such variations are intended to come within the scope of the present invention.

WE CLAIM:

1. A method to inhibit expression of a target gene in a cell comprising introduction of a ribonucleic acid (RNA) into the cell in an amount sufficient to inhibit  
5 expression of the target gene, wherein the RNA has a double-stranded structure with an identical nucleotide sequence as compared to a portion of the target gene.
2. The method of claim 1 in which the target gene is a cellular gene.
- 10 3. The method of claim 1 in which the target gene is an endogenous gene.
4. The method of claim 1 in which the target gene is a transgene.
5. The method of claim 1 in which the target gene is a viral gene.  
15
6. The method of claim 1 in which the cell is from an animal.
7. The method of claim 1 in which the cell is from a plant.
- 20 8. The method of claim 6 in which the cell is from an invertebrate animal.
9. The method of claim 8 in which the cell is from a nematode.
10. The method of claim 1 in which the identical nucleotide sequence is at  
25 least 50 nucleotides in length.
11. The method of claim 1 in which the target gene expression is inhibited by at least 10%.

12. The method of claim 1 in which the cell is present in an organism and inhibition of target gene expression demonstrates a loss-of function phenotype.

13. The method of any one of claims 1-12 in which the RNA has one self-  
5 complementary strand.

14. The method of any one of claims 1-12 in which the RNA has two separate complementary strands.

10 15. The method of claim 14 further comprising synthesis of the two complementary strands and initiation of RNA duplex formation outside the cell.

16. The method of claim 14 further comprising synthesis of the two complementary strands and initiation of RNA duplex formation inside the cell.  
15

17. The method of any one of claims 1-12 in which the RNA has no single-stranded structure.

18. The method of any one of claims 1-12 in which the RNA is introduced  
20 within a body cavity of an animal and outside the cell.

19. The method of any one of claims 1-12 in which the RNA is introduced by extracellular injection into a body cavity of an organism.

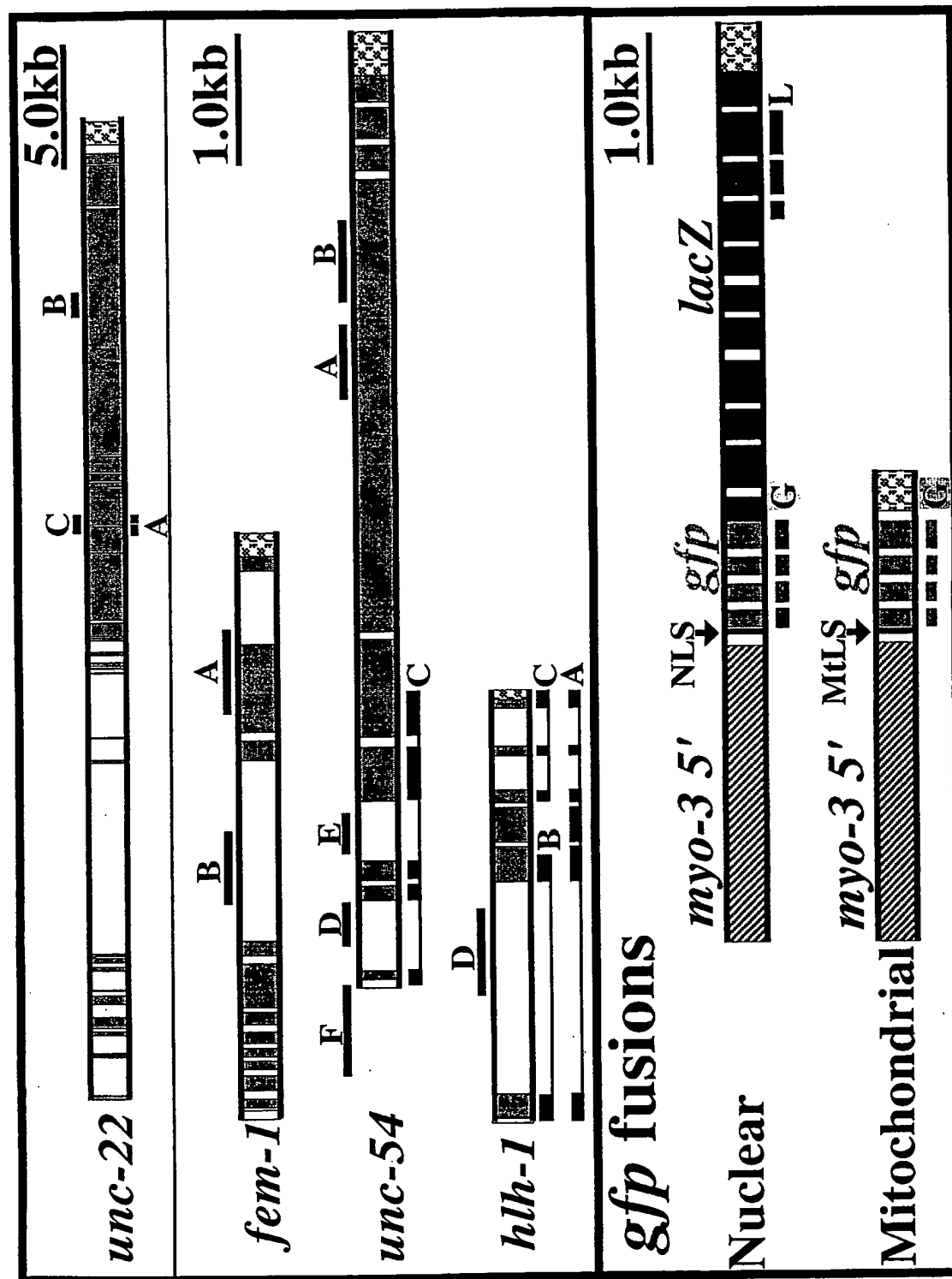
25 20. The method of any one of claims 1-12 in which an expression vector in a cell produces the RNA.

## ABSTRACT OF THE DISCLOSURE

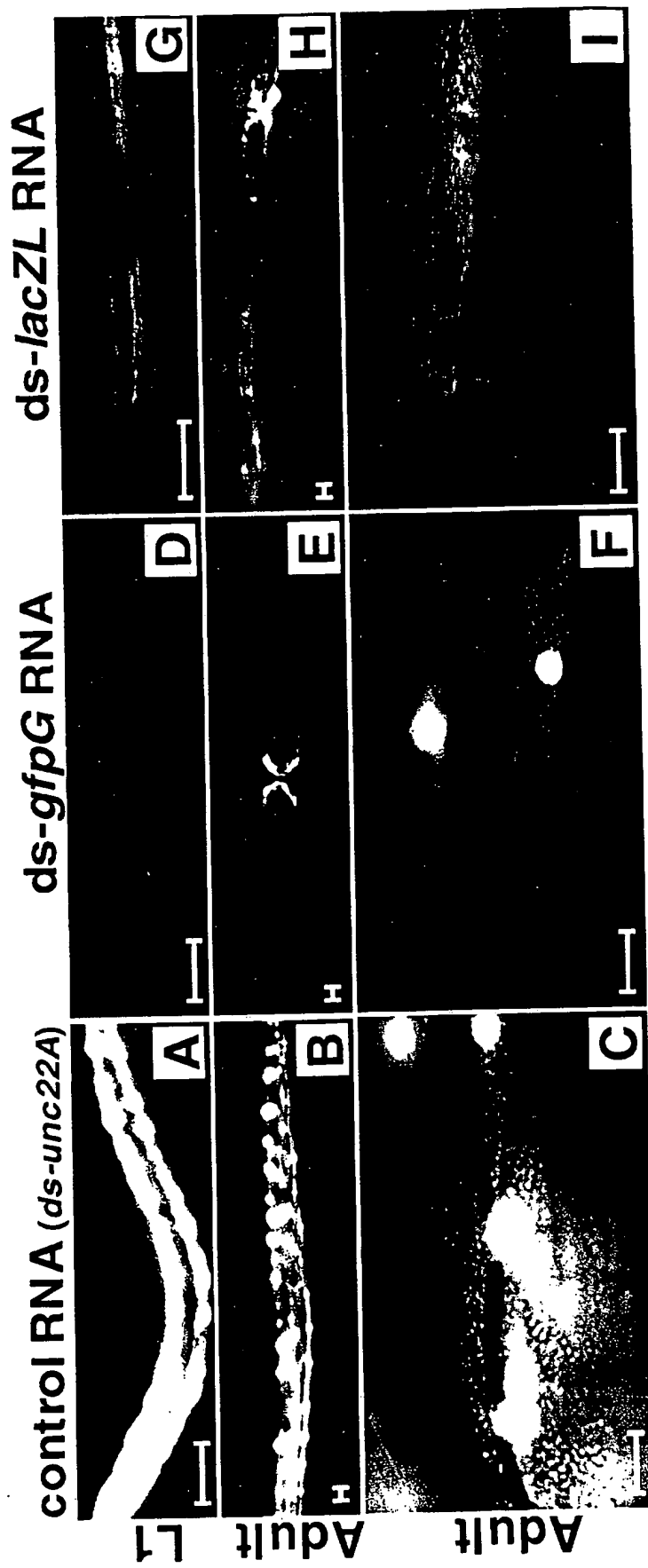
A process is provided of introducing an RNA into a living cell to inhibit gene expression of a target gene in that cell. The process may be practiced *ex vivo* or *in vivo*.

- 5 The RNA has a region with double-stranded structure. Inhibition is sequence-specific in that the nucleotide sequences of the duplex region of the RNA and of a portion of the target gene are identical. The invention is distinguished from prior art interference in gene expression by antisense or triple-strand methods.

FIGURE 1







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FIGURE 2

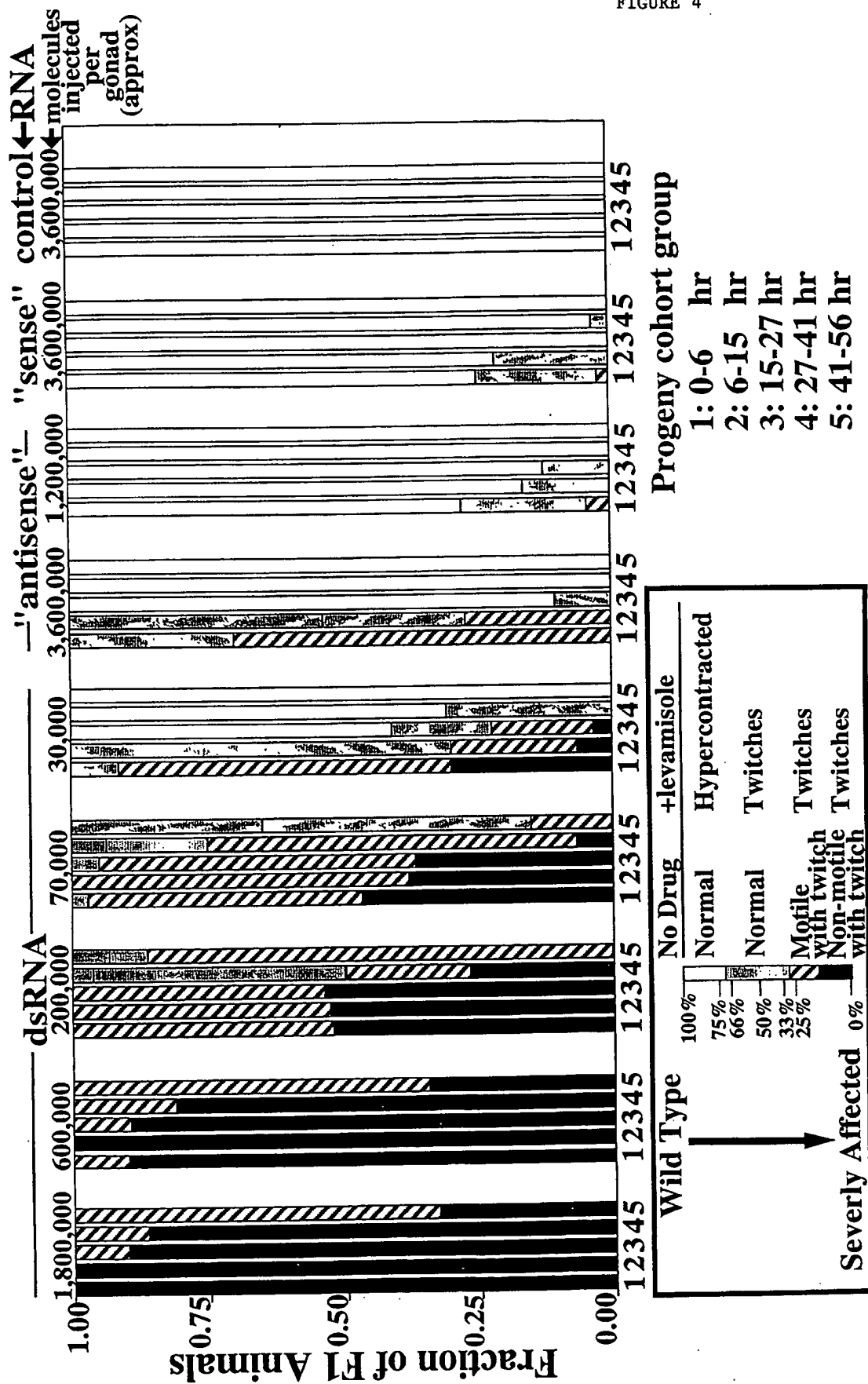
FIGURE 3

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SECRET 29589009

FIGURE 4



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## REQUEST FOR FILING PROVISIONAL PATENT APPLICATION

Under 35 USC 111(b)

(Not for DESIGN cases)

Box: PROVISIONAL  
APPLICATIONCommissioner of Patents  
Washington, D.C. 20231PROVISIONAL APPLICATION  
Under Rule 53(c)

Sir:

(Our Deposit Account No. 03-3975)

Herewith is a PROVISIONAL APPLICATION

Title: GENETIC INHIBITION BY DOUBLE-STRANDED RNA

Our Order No.	20263	243343
	C#	M#
Atty. Dkt.	PMS 243343	
	M#	Client Ref

including:

Date: December 23, 1997

1. Specification: 29 pages 2. ☐ Specification in non-English language 3. ☒ Drawings: 4 sheet(s)4. The invention ☒ was ☐ was not made by, or under a contract with, an agency of the U.S. Government.

If yes, Government agency/contact # = NIH/GM-37706, #GM-17164, #HD-33769 and #GM-07231

5. ☐ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.6. ☐ Attached: (No.) Verified Statement(s) establishing "small entity" status under Rules 9 & 27.

NOTE: Do NOT File IDS!

7. ☐ Attached:

8. This application is made by the following named inventor(s) (Double check instructions for accuracy.):

(1) Inventor	Andrew		Fire
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9. NOTE: FOR ADDITIONAL INVENTORS, check box ☒ and attach sheet (PAT102A3) with same information regarding additional inventors.

# REQUEST FOR FILING APPLICATION

Under 35USC 111(b)

(Continued : Additional Inventors)

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(14) Inventor			
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Residence			
	City	State/Foreign Country	Country of Citizenship

	Large/Small Entity		Fee Code
10. Filing Fee .....	\$150/\$75	+150	114/214
11. If "non-English" box 2 is X'd, add Rule 17(k) processing fee .....	\$130	+	139
12. If "assignment" box 5 is X'd, add recording fee. ....	\$40	+	581
13. TOTAL FEE ENCLOSED =	\$150		

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**NOTE:** File in duplicate with 2 post card receipts (PAT-103) & attachments

# APPLICATION UNDER UNITED STATES PATENT LAWS

Invention: GENETIC INHIBITION BY DOUBLE-STRANDED RNA

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## This is a:

- ☒ Provisional Application
- ☐ Regular Utility Application
- ☐ Continuing Application
- ☐ PCT National Phase Application
- ☐ Design Application
- ☐ Reissue Application
- ☐ Plant Application
- ☐ Substitute Specification  
Sub. Spec Filed \_\_\_\_\_  
in App. No. \_\_\_\_\_ / \_\_\_\_\_

## SPECIFICATION

60066562 122397

## GENETIC INHIBITION BY DOUBLE-STRANDED RNA



FIGURE 4













































Table 1. Effects of sense, antisense, and mixed RNAs on progeny of injected animals.

	Gene and Segment		Size	Injected RNA	F1 Phenotype
5	<b><i>unc-22</i></b>			<b><i>unc-22</i> null mutants: strong twitchers<sup>7,8</sup></b>	
	<i>unc22A<sup>a</sup></i>	exon 21-22	742	sense	wild type
				antisense	wild type
				sense+antisense	strong twitchers (100%)
	<i>unc22B</i>	exon 27	1033	sense	wild type
10				antisense	wild type
				sense+antisense	strong twitchers (100%)
	<i>unc22C</i>	exon 21-22 <sup>b</sup>	785	sense+antisense	strong twitchers (100%)
	<b><i>fem-1</i></b>			<b><i>fem-1</i> null mutants: female (no sperm)<sup>13</sup></b>	
15	<i>fem1A</i>	exon 10 <sup>c</sup>	531	sense	hermaphrodite (98%)
				antisense	hermaphrodite (>98%)
				sense+antisense	female (72%)
	<i>fem1B</i>	intron 8	556	sense+antisense	hermaphrodite (>98%)
20	<b><i>unc-54</i></b>			<b><i>unc-54</i> null mutants: paralyzed<sup>7,11</sup></b>	
	<i>unc54A</i>	exon 6	576	sense	wild type (100%)
				antisense	wild type (100%)
				sense+antisense	paralyzed (100%) <sup>d</sup>
	<i>unc54B</i>	exon 6	651	sense	wild type (100%)
25				antisense	wild type (100%)
				sense+antisense	paralyzed (100%) <sup>d</sup>
	<i>unc54C</i>	exon 1-5	1015	sense+antisense	arrested embryos and larvae (100%)
	<i>unc54D</i>	promoter	567	sense+antisense	wild type (100%)
	<i>unc54E</i>	intron 1	369	sense+antisense	wild type (100%)
30	<i>unc54F</i>	intron 3	386	sense+antisense	wild type (100%)

Table 1 (continued).

	Gene and Segment		Size	Injected RNA	F1 Phenotype
5	<b><i>hlh-1</i></b>			<b><i>hlh-1</i> null mutants: lumpy-dumpy larvae<sup>16</sup></b>	
	<i>hlh1A</i>	exons 1-6	1033	sense	wild type (<2% lpy-dpy)
				antisense	wild type (<2% lpy-dpy)
				sense+antisense	lpy-dpy larvae (>90%) <sup>e</sup>
	<i>hlh1B</i>	exons 1-2	438	sense+antisense	lpy-dpy larvae (>80%) <sup>e</sup>
10	<i>hlh1C</i>	exons 4-6	299	sense+antisense	lpy-dpy larvae (>80%) <sup>e</sup>
	<i>hlh1D</i>	intron 1	697	sense+antisense	wild type (<2% lpy-dpy)
<hr/>					
	<b><i>myo-3</i> driven GFP transgenes<sup>f</sup></b>				
	<b><i>myo-3::NLS::gfp::lacZ</i></b>			<b>makes nuclear GFP in body muscle</b>	
15	<i>gfpG</i>	exons 2-5	730	sense	nuclear GFP-LacZ pattern of parent strain
				antisense	nuclear GFP-LacZ pattern of parent strain
				sense+antisense	nuclear GFP-LacZ absent in 98% of cells
	<i>lacZL</i>	exon 12-14	830	sense+antisense	nuclear GFP-LacZ absent in >95% of cells
20	<b><i>myo-3::MLS::gfp</i></b>			<b>makes mitochondrial GFP in body muscle</b>	
	<i>gfpG</i>	exons 2-5	730	sense	mitochondrial GFP pattern of parent strain
				antisense	mitochondrial GFP pattern of parent strain
				sense+antisense	mitochondrial GFP absent in 98% of cells
	<i>lacZL</i>	exon 12-14	830	sense+antisense	mitochondrial GFP pattern of parent strain

25

- b: *unc22C* also carries the intervening intron (43 nt).
- c: *fem1A* also carries a portion (131 nt) of intron 10.













FIGURE 1

FIGURE 2

FIGURE 3